



Speaker Won Pat <speaker@judiwonpat.com>

## Messages and Communications: Board Reporting Requirements

1 message

**Speaker Won Pat** <speaker@judiwonpat.com>

Tue, Oct 8, 2013 at 8:25 AM

To: Guam Legislature Clerks Office <clerks@guamlegislature.org>

10/8/2013 9:19 AM University of Guam

32-13-849  
Boardbook for the September 19, 2013  
University of Guam Board of Regents  
regular meeting, submitted in compliance  
with PL 31-233\*\*E-MAILED\*\* 32-13-849

Dr. 10/8/13  
Received by [Signature]

----- Forwarded message -----

From: **Louise Toves** <lmtoves@uguam.uog.edu>

Date: Mon, Oct 7, 2013 at 5:32 PM

Subject: RE: Board Reporting Requirements

To: speaker@judiwonpat.com, Crystal Duenas <crystal.duenas@guam.gov>, sandra.miller@guam.gov

Cc: Jonas Macapinlac <jmacapinlac@uguam.uog.edu>, Victorina Renacia <vrenacia@uguam.uog.edu>

Hafa Adai,

Please find the attached Boardbook for the September 19, 2013 University of Guam Board of Regents regular meeting, submitted in compliance with PL 31-233. It will also be posted on the UOG website. Please do not hesitate to contact me if you have any questions. Thank you, Louise

Louise M. Toves

Executive Assistant to the President

University of Guam

UOG Station, Mangilao, Guam 96923

(671) 735-2995; fax (671) 734-2296

849

*Ufisinan I Etmàs Ge'helo'Gi Liheslaturan Guåhan*

**Office of Speaker Judith T. Won Pat Ed.D.**

***Kumiten Idukasion yan Laibirihan Publeko***

**Committee on Education and Public Libraries & Women's Affairs**

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 **UOG BOR Boardbook for September 19, 2013 for reporting purposes.pdf**

5749K



UNIVERSITY OF GUAM  
UNIBETSEDAT GUAHAN  
Board of Regents

UOG Station, Mangilao, Guam 96923  
Telephone: (671) 735-2995 • Fax: (671) 734-2296

**REGULAR MEETING**

**Thursday, September 19, 2013, 5:30 p.m., AV Room 1, RFK Library,  
Tan Siu Lin Building, UOG Campus, Mangilao, Guam**

**AGENDA**

- 1.0 CALL TO ORDER**
- 2.0 MEETING MINUTES**
  - Action 2.1 Regular Meeting Minutes of June 20, 2013**
- Information 3.0 CHAIRMAN'S REMARKS**
- Information 4.0 PRESIDENT'S REPORT**
- 5.0 REPORTS FROM STANDING COMMITTEES**
  - 5.1 Academic, Personnel and Tenure Committee**
    - Action 5.1.1 Resolution No. 13-18, Relative to Endorsing the University of Guam Good to Great Process and Statement of Greatness**
  - 5.2 Student Affairs, Scholarship, Alumni Relations, and Honorary Degree Committee**
  - 5.3 Budget, Finance, Investments and Audit Committee**
    - Information 5.3.1 Financial Update**
    - Information 5.3.2 Collections Report**
    - Information 5.3.3 Procurement Transactions and Contracts Report**
    - Action 5.3.4 Resolution No. 13-19, Relative to Approving the Write-off of Certain Long Outstanding Accounts Receivable**
    - Action 5.3.5 Resolution No. 13-20, Relative to Approving the Proposed FY2014 Insurance Program**
    - Action 5.3.6 Resolution No. 13-21, Relative to Continuation of FY2013 General Operations, Special Appropriations, Student Financial Assistance Program and Non-Appropriated Funds Budgets into FY2014**
    - Action 5.3.7 Resolution No. 13-22, Relative to Authorizing the Signing of Checks and Corporate Resolutions and Opening or Closing Bank Accounts or Credit Facilities**
    - Action 5.3.8 Resolution No. 13-23, Relative to Authorizing Spending from Planetarium Fund**

- Information**
  - Action**
- 5.4 Physical Facilities Committee**
    - 5.4.1 Facilities Update**
    - 5.4.2 Resolution No. 13-24, Relative to Amending the University of Guam's Policy Banning the Sales, Smoking, and the Distribution and Use of Tobacco and Tobacco-based Products on the University of Guam Campus**
  - 6.0 AD HOC REPORT: ENDOWMENT FOUNDATION UPDATE**
  - 7.0 NEW BUSINESS**
  - 8.0 OPEN PRESENTATION (3 Minute Limit Per Person)**
  - 9.0 EXECUTIVE SESSION**
    - 9.1 BOR Self-Evaluation Committee Report**
  - 10.0 ADJOURNMENT**

Acting Chairperson William Leon Guerrero will call the meeting to order.



**UNIVERSITY OF GUAM  
UNIBETSEDAT GUAHAN**

**Board of Regents**

UOG Station, Mangilao, Guam 96923  
Telephone: (671) 735-2995 Fax: (671) 734-2296

**Regular Meeting Minutes  
June 20, 2013**

**1.0 CALL TO ORDER**

The Regular Meeting of the Board of Regents (BOR) was called to order by BOR Chairperson W. Chris Perez on June 20, 2013, at 5:30 p.m., in AV Room #1, University of Guam RFK Library, Tan Siu Lin Building, notice of such meeting having been duly and regularly provided by the BOR.

**QUORUM:**

<b>W. Chris Perez</b>	<b>Chairperson</b>
<b>Marcos Fong</b>	<b>Treasurer</b>
<b>Kathy Sgro</b>	<b>Member</b>
<b>Elizabeth Gayle</b>	<b>Member</b>
<b>Jillette Leon-Guerrero</b>	<b>Member</b>
<b>Anthony Quenga</b>	<b>Member</b>

**ALSO PRESENT:**

<b>Robert A. Underwood</b>	<b>Executive Secretary</b>
<b>Louise M. Toves</b>	<b>Recording Secretary</b>
<b>Victorina M.Y. Renacia</b>	<b>Legal Counsel</b>

**2.0 MEETING MINUTES**

**2.1 Regular Meeting Minutes of May 16, 2013**

Chairperson Perez introduced for approval the Regular Meeting Minutes of May 16, 2013 and asked whether there were any corrections. Regent Gayle noted that there was an omission under section 5.4.1, and the minutes should be amended to reflect that "the motion had been seconded, and carried," which is what occurred during the meeting. Chairperson Perez asked for a vote on the approval of the minutes with the correction as noted, which was unanimously approved.

**3.0 CHAIRPERSON'S REMARKS**

Chairperson Perez extended his hope that everyone had an enjoyable Father's Day, noting that he is a first time grandparent. He thanked the regents for their participation in the fiduciary training event that was held last month. He acknowledged the passing of the

**Board of Regents Regular Meeting Minutes of June 20, 2013**

2<sup>nd</sup> recipient of UOG's Masters of Micronesian Traditional Knowledge honorary degree, Mr. Jesus "Chamorro" Charfauros. He spoke of Mr. Charfauros' contributions to the preservation of the Chamorro language

Chairperson Perez introduced Regent-appointee Mariflor Herrero, who is present to observe the meeting. He thanked her for her willingness to serve.

He then recognized SVP Whippy to introduce any newly tenured professors present today. SVP Whippy introduced Dr. Aubrey Moore, who is an entomologist with the College of Natural and Applied Science. Dr. Moore introduced himself and expressed his appreciation at being invited to the meeting and for the opportunity to serve as a faculty member at UOG.

**4.0 PRESIDENT'S REPORT**

President Underwood noted that Dr. Moore is well known for his work involving the rhinoceros beetle, one of the recent invasive species that Guam has had to deal with. He then gave the President's report, a summary of which is attached.

**5.0 REPORTS FROM STANDING COMMITTEES**

**5.1 Academic, Personnel, and Tenure Committee**

**5.1.1 Resolution No. 13-15, Relative to Authorizing the Application to the U.S. Department of Health, Administration for Children & Families, Administration for Native Americans (ANA) to Support the University of Guam Grant Proposal, "Estoriayi I Famagu'on-ta; Telling Our Children Our Stories"**

Regent Sgro reported that that the AP&T committee did not meet, however, as previously authorized by the BOR, Resolution No. 13-15 was approved by Chairperson Perez to facilitate the submission of the grant proposal, "Estoriayi I Famagu'on-ta; Telling Our Children Our Stories."

**5.2 Student Affairs, Scholarship, Alumni Relations and Honorary Degree Committee**

Regent Fong reported that the committee did not meet and there are no action items to address.

**5.3 Budget, Finance, Investments and Audit Committee**

**5.3.1 Collections Report**

Regent Fong reported that just over \$29k was collected over the month of May, bringing UOG to just under the total year-to-date collections forecast.

**Board of Regents Regular Meeting Minutes of June 20, 2013**

**5.3.2 Procurement Transactions and Contracts Report**

Regent Fong reported that there was only one purchase order during the month of May that was over \$100,000, which was to Datatel for the renewal of the support and maintenance of the UOG Colleague Financial System.

**5.4 Physical Facilities Update**

Regent Gayle reported that the committee did not meet and there are no action items to address.

**6.0 NEW BUSINESS**

**6.1 Resolution No. 13-16, Relative to Approving the Election Rules Pertaining to Directors, Northern and Southern Soil and Water Conservation District Boards**

Chairperson Perez acknowledged Dean Yudin to report on Resolution No. 13-16. Dean Yudin reported on the public hearing that was held on June 14, 2013. Chairperson Perez thanked Dean Yudin for his efforts on behalf of the BOR. Regent Gayle moved to adopt Resolution No. 13-16, which was duly seconded. The motion carried.

**6.2 Resolution No. 13-17, Relative to Establishing the Research Corporation of the University of Guam (RCUOG)**

Chairperson Perez acknowledged President Underwood to report on the intent of Resolution No. 13-17. President Underwood explained the need and purpose of establishing the RCUOG. Regent Fong moved to adopt Resolution 13-17, which was duly seconded. The motion carried.

**6.3 Public Law 32-031, Relative to Providing for Educational Programs for Members of Boards and Commissions**

President Underwood reported on the requirements of P.L. 32-031, and the efforts of UOG to meet those mandates as well as to codify the rules, regulations, and procedures of the BOR prior to the start of the new fiscal year. Chairperson Perez commented further on the requirements of the law and asked that the final training packet be presented to the BOR when it is prepared.

**7.0 OPEN PRESENTATION (3 Minute Limit per Person)**

Chairperson Perez opened the floor for open presentations.

Ms. Tamarie Fegurgur requested to memorialize the document that she provided to Chairperson Perez on June 18, 2013, which Chairperson Perez approved. She stated that on behalf of her colleagues, Jessica Lansang Carreon, Jalma Manglona, Jonathan



**Board of Regents Regular Meeting Minutes of June 20, 2013**

Marquez, Regina Manglona, and Cayla Feliciano, she is requesting a special meeting of the BOR for a formal review of their situation related to the removal of their passing grades, which resulted in the denial of their diplomas for a BA in Education. She stated that they believe that upon review of their documentation, that there is a need for a process to engage restorative justice. She further stated that their intention is to create an opportunity to discuss the situation, and to lead to the healing of wounds created by the situation. She then requested to distribute to present document packets to the BOR members, which was approved.

Chairperson Perez thanked her and her fellow students for their presence, candor and profession demeanor. He indicated that matters will be deferred to the administration until all procedures are exhausted. At that point, it can then be referred to the SASARHD committee if necessary. BOR does not meet over the next few months, and that any action necessary will be addressed by the Executive Committee.

Mr. Tomas Fegurgur introduced himself and his wife, Marie, in support of their daughter Tamarie and her five colleagues in their request to the BOR to hold a special meeting to address the situation which they have raised. He stated that as parents, they are viewing the situation from the outside and believe that there is a technicality that prevented them from obtaining their degrees, while they had already earned their grades.

SVP Whippy reported that this is her last BOR meeting and will leave in August to take up the position of Provost at Chaminade University in Hawaii. She pledged to continue to assist the University as it is in her heart and expressed her pride in leaving UOG while it is in good shape. She expressed her pride in the staff, faculty, administration, President and BOR. She stated that while there is still work to be done, she is happy to be leaving the University in better shape than when she started.

President Underwood expressed his appreciation and admiration for Dr. Whippy and her work at the University of Guam. He stated that her work over the years has been the greatest force in the stabilization and the integrity of the University, far beyond any individual president.

Chairperson Perez expressed his appreciation to Dr. Whippy. He then stated that the BOR would enter executive session at this time.

**9.0 EXECUTIVE SESSION**

**9.1 Presidential Evaluation Committee Report**

**10.0 VOTING FILE**

Upon returning to Open Session, Chairperson Perez opened the floor to address the recommendations discussed in Executive Session.

**Board of Regents Regular Meeting Minutes of June 20, 2013**

**10.1 Presidential Evaluation Committee Report**

Regent Sgro recommended approval of the Presidential Evaluation Committee (PEC) report for the period of May 2012 to April 2013, which was duly seconded. Regent Sgro reported on the PEC process, noting that the committee was made up by Chairperson Perez, Regent Sanford and herself. She stated that upon review of the final report, the committee recommended a 2% merit increase as stipulated in his contract due to President Underwood's exemplary performance. The motion carried. Chairperson Perez expressed his gratitude for President Underwood for his service to the University.


President Underwood expressed his appreciation to the BOR for their indulgence and support. He stated that he enjoys working with the BOR and wished that every chief executive on Guam had the type of relationship that he shares with the BOR, which is very respectful. Chairperson Perez asked for confirmation by President Underwood that the objectives accepted in his self-evaluation will be the benchmarks for his next evaluation period, as agreed with the PEC. President Underwood acknowledged that that is correct.

Chairperson Perez further noted that this is the 3<sup>rd</sup> and last year of President Underwood's current contract, and that he will set up a meeting with the Executive Committee to meet with him to discuss his future plans as a courtesy to both President Underwood and the BOR.

**11.0 ADJOURNMENT**

Chairperson Perez adjourned the meeting at 6:45 p.m.

**ATTESTED:**

  
Dr. W. Chris Perez, Chairperson

  
Dr. Robert A. Underwood, Executive Secretary

## **PRESIDENT'S REPORT**

**June 20, 2013**

### **1. Condolences**

I would like to recognize the recent passing of several members of the University community.

Mr. Francis E. Guerrero, who retired in October, 2012 as a Library Technician I for the RFK Memorial Library, passed away on April 4, 2013. He served the University for over 12 years.

Professor Emeritus Dr. Lucius "Lu" Eldredge III served the University for 22 years and held various roles, including faculty, the first Director of Marine Lab, and Interim Director of MARC.

Professor Emeritus Dr. Fritz Phillip Dauterman served the University for 24 years as a Professor of Language Arts at the College of Arts and Sciences. He was also an alumnus of UOG, having earned a Master of Education in School Administration in 1974.

Jesus "Chamorro" Charfauros, the 2<sup>nd</sup> recipient of the Master of Micronesia Traditional Knowledge Honorary Degree, passed away on June 4<sup>th</sup>. I was honored to deliver his eulogy at the services held for him last Saturday.

### **2. FY2013 Salary Increments & FY 2014 Budget Hearing**

Governor Calvo has issued Executive Order 2013-004 on May 30, 2013, authorizing the payment of all increments earned during the period of the increment freeze (Executive Order 2011-14) for classified and unclassified employees. For UOG, that authorizes the payment of FY2013 increments. There is a proposal that the increments be funded by the savings resulting from maintaining the current retirement fund contribution rate of 30.09% into FY2014. The FY2014 budget submitted used 31.02% as the retirement contribution rate. This 1% rate decrease equates to about \$200k. The cost of implementing the FY2013 increments is approximately \$214k, however, the annualization of the increment into FY2014 is approximately \$751k. UOG is currently anticipating the release of the increments by mid-July 2013.

Senator Ben C. Pangelinan, Chairman of the Committee on Appropriations, has notified the University that the FY2014 Budget Hearing with the University of Guam is scheduled for Monday, July 29, 2013 from 9:00 a.m. to 11:00 a.m. I am asking for your support in putting this in your schedules and attending the hearing if at all possible.

### **3. 61<sup>st</sup> Anniversary Founders Day Gala**

The Founders Day Gala was held on June 8<sup>th</sup> and was another outstanding success. Kudos to Norman Analista and Nerissa Underwood, co-chairs of the event, and all their team members. Over 400 attendees enjoyed an evening of entertainment at the Gala, which raised \$40k towards the Capital Campaign. Thank you to Chairman Perez, Regent Gayle and Regent Jillette Leon-Guerrero for attending, and to both Regent Jillette Leon-Guerrero and Regent Kathy Sgro for sponsoring a table each at the event.

#### **4. Capital Campaign Donors**

UOGEF is now part of the Combined Federal Campaign listing and has received its first check of \$883.71. As part of the listing, federal employees can now elect to make contributions to the UOGEF by payroll deduction.

UOG's Business Partner for the month of June is Tango Theatres.

The Construction Industry and Hawaiian Rock 5k event brought in donations totaling \$22k towards the Capital Campaign. Jerold Johnson, the Construction industry fundraising Chairman, is sponsoring a raffle for an all-terrain mini-vehicle, bobcat, valued at \$9k. Raffle tickets are \$50 each and can be purchased at Hawaiian Rock, Mid Pac Far East, or the UOG Endowment Office. You do not have to be present to win.

#### **5. Students**

Nine (9) of UOG's Senior ROTC cadets graduated in the Spring 2013 commencement and were commissioned as Second Lieutenants into the United States Army. They are: Lloyd Abigania (BA Political), Maria Bais (BS Criminal Justice), Matthew Cabrera (BBA Business with Marketing), Shuai Chen (BS Criminal Justice), Alejandro Diaz (BS Criminal Justice), Quintin Duenas (BAE Secondary Education), Lee Ignacio (MPA), John-Eddie Moser (BS Criminal Justice), Peter Sakisat (BS Criminal Justice).

The Society for Human Resources Management (SHRM) has awarded the "Superior Merit Award" to the University of Guam SHRM Student Chapter. The award nationally recognizes the UOG SHRM Student Chapter for its outstanding activities and projects in 2012-2013. This marks the 15th time the UOG SHRM Student Chapter has received this distinction. To be eligible for the Superior Merit Award, a chapter must meet all chapter affiliation requirements and complete a variety of activities including chapter operations, fundraising, legislative advocacy, hosting seminars or conferences, interacting with the local professional SHRM chapters, attending SHRM conferences, supporting the SHRM Foundation and participating in internships, and mentorships to name a few.

Pi Sigma Alpha, the national honor society for students of political science and government recently inducted 10 University of Guam students. To qualify, the students achieved a 3.0 grade point average in political science and rank in the top third of UOG in general academic performance. The students inducted were: Royce K. Camacho, DeeAnn Choffat, Sheen P. Dorosan, Andrew R. Orsini, Katherine A. Parkinson, Marilyn S. Salalila, and Laurie Tumaneng of Guam; Lloyd G. Abigania of CNMI; Hage-Ae R. Paul of the Federated States of Micronesia; and Isechal Remensegau of the Republic of Palau.

Acting Chairperson William Leon Guerrero will give his report.

President Robert Underwood will give his report.

Reports will be given for each of the standing committees.

AP&T Chairperson Regent Jillette Leon Guerrero will give her report.





UNIVERSITY OF GUAM  
UNIBETSEDAT GUAHAN  
BOARD OF REGENTS

RESOLUTION NO. 13-18

**RELATIVE TO ENDORSING THE UNIVERSITY OF GUAM  
GOOD TO GREAT PROCESS AND STATEMENT OF GREATNESS**

**WHEREAS**, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges (WASC) serving the post-secondary needs of the people of Guam and the region; and

**WHEREAS**, the governance and well-being of UOG is vested in the Board of Regents (BOR); and

**WHEREAS**, UOG hosted the University of Guam 60<sup>th</sup> Anniversary Presidential Forum (Forum) on July 2, 2012, which brought seven presidents and chancellors from Pacific, Asian and United States universities to discuss the capacity of universities to adapt to and capitalize upon the changes resulting from rapidly spreading technologies and a highly globalized economy; and

**WHEREAS**, as a follow up to the Forum, five open conversations were held with the UOG community that provided information on the changing dynamics all universities face and the special challenges that UOG confronts, followed by an Appreciative Inquiry model process to identify the UOG community's view regarding the University's mission; and

**WHEREAS**, President Underwood formed the Good to Great (G2G) Force, comprised of (11) administrators, (9) faculty, (2) staff and (1) student member, which held over twenty meetings under the leadership of President Underwood to accomplish its tasks; and

**WHEREAS**, G2G is UOG's broad-based effort to focus on its unique mission, rediscover its essential nature, determine its potential greatness, analyze programs and activities on the basis of their quality and effective use of resources, reconnect to our relationships with other programs and units on campus, students and the community; and

**WHEREAS**, the G2G Force developed the UOG Statement of Greatness, which states:

*The University of Guam's unique geographical location and its commitment of expertise to the needs of Guam and the Micronesia Region jointly provide the basis for greatness. The University functions as an intellectual conduit for the people and institutions of the Region, East Asia, and the world to learn from one another, within an American higher education framework.*

*Greatness consists of leadership in (1) learning, teaching, discovery, and service that preserves the essential strengths of the Region's cultures and natural resources, and (2) applying those strengths to new challenges in flexible, multiple ways that transform the students of the University, the University's partners, and the University itself; and*

**WHEREAS**, the G2G task force also developed the G2G Data Elements, and the *Road to the Great UOG – I Chalan Para I ma'gas Na UOG* document which were then distributed to all UOG Citizens; and

**WHEREAS**, a UOG Citizen's Assembly was held, followed by three Citizen Input Sessions to obtain community-wide input and discussion prior to moving forward in defining the Program Evaluation and Planning (PEP) process; and

**WHEREAS**, the G2G force then developed the Program Planning and Evaluation (PEP) rubrics and guidelines for academic/research programs and administrative/support units, which are accessible through the Triton portal along with other resources; and

**WHEREAS**, the PEP process is a transparent and participatory evaluative process for all UOG units and programs that will culminate in concrete plans for resources and activities; and

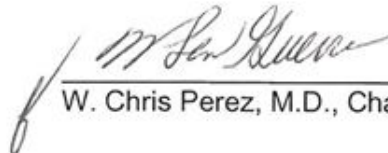
**WHEREAS**, through the PEP process, UOG will address the need to confront challenges and build on opportunities, reprioritize programs and activities based on the UOG mission, become more efficient and sustainable, maintain high quality, and understand our relationship to each other and the community; and

**WHEREAS**, through this process, all UOG citizens will focus on their role in creating an institution that facilitates deep thought, that rewards engagement, fosters collaboration and reinforces the values that have sustained scholarship for centuries and helped create progressive and empowered societies in the modern world.

**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Regents hereby endorses the process of G2G as outlined in the PEP Guidelines for both Academic/Research Programs and Administrative/Support Units, and supports the efforts to include all elements of the University community in the review and recommendation process; and

**BE IT FURTHER RESOLVED**, that the members of the G2G force are commended for their individual and collective commitment and effort towards UOG's transformation from Good to Great.

**Adopted this 19<sup>th</sup> day of September, 2013.**

  
\_\_\_\_\_  
W. Chris Perez, M.D., Chairman

**ATTESTED:**

  
\_\_\_\_\_  
Dr. Robert A. Underwood, Executive Secretary

The proposed timeline is as follows:

Date	Activity
<b>May 9, 2013</b>	UOG Citizens Assembly
<b>May 13 - 17, 2013</b>	Citizen Input and Q&A Meetings
<b>June 1, 2013</b>	Deadline to submit input via Triton Portal
<b>June 28, 2013</b>	PEP Guide is finalized
<b>August 19 - Sept 6, 2013</b>	Meetings with Deans/Directors/Administrative Units
<b>September 9 - November 27, 2013</b>	PEP process by academic/research programs and support units
<b>November 27, 2013</b>	Final deadline to submit PEP Reports to PEP Review Committee
<b>January 21, 2014</b>	Final deadline for PEP Review Committee to submit analysis/review to Faculty Senate/Administrative Council/Staff Council.
<b>January 21 – February 14, 2014</b>	Final deadline for feedback/clarification by individual Programs and Units
<b>March 21, 2014</b>	Final deadline for Faculty Senate/Administrative Council/Staff Council to submit analysis/review to AVP, SVP, and VPAF
<b>March 24 - April 18, 2014</b>	Review of PEP Reports/analysis by AVP, VPAF and SVP
<b>April 21 - May 9, 2014</b>	Final Review by President
<b>May 12 - 23, 2014</b>	Dissemination of G2G Plan
<b>Fall 2014</b>	Implementation of G2G Plan

## **GUIDELINES for UOG ACADEMIC/RESEARCH PROGRAMS' PEP REPORT SUBMISSIONS**

President Underwood has initiated the Program Evaluation and Planning (PEP) Process described in the document, *Road to the Great UOG / I Chalan Para I Ma'gas Na UOG*. As a portion of this process, your academic/research program (program) is required to submit an evidence-based report.

The PEP Process is “an evaluative process that will culminate in concrete plans for resources and activities” for the University (*I Chalan Para I Ma'gas Na UOG*, p. 9). This process is based on four broad criteria for analysis: (1) Fit to the University’s Statement of Greatness, (2) Sustainability, (3) Quality, and (4) Demand and Relationships. The Good to Great (G2G) process was initiated by the President in response to internal and external trends in higher education and the need to clarify and strengthen the institution’s role in Guam and the region. This guide, the process (including the questions), the rubrics and the timeline were determined based on the input and guidance of the G2G Force. The Force was a representative group, consisting of (9) faculty, (11) administrators and (2) staff and (1) student, which worked on a consensus basis with the President facilitating most of the meetings.

The goals of the PEP Review are described in detail in the *I Chalan Para I Ma'gas Na UOG* document. The review will produce rankings of programs and units, and will conclude with recommendations from the PEP Review Committee (PRC) to the Administration: including recommendations for aligning or restructuring of some undergraduate and graduate academic programs. Prior to the submission to the senior administration for final determination, the PRC recommendations will be submitted to the Administrative Council, Staff Council and Faculty Senate for review and independent commentary in accordance with the University’s commitment to a shared governance process.

The purpose of this guide is to provide additional information that will help your program prepare its report, along with a copy of the rubrics that the PRC will use to evaluate programs and units.

This guide also provides links to information on how the goals of the PEP Process align with requirements for the University’s accreditation.

### **Accreditation Requires Institutional Reflection and Planning**

Our accrediting body, the Western Association of Schools and Colleges (WASC), requires that the University of Guam periodically engage "its multiple constituencies, including the governing board, faculty, staff, and others, in institutional reflection and planning processes that are based on the examination of data and evidence. These processes assess the institution’s strategic position, articulate priorities, examine the alignment of its purposes, core functions, and resources, and define the future direction of the institution." WASC also requires that, within the context of our mission and structural and financial realities, the University "considers changes that are currently taking place and are anticipated to take place within the institution and higher

education environment as part of its planning, new program development, and resource allocation" (WASC 2013 Handbook of Accreditation (July 2013), pp. 18-19). Among the most important forms of evidence are those that indicate quality in the University's undergraduate and graduate programs (*ibid*, pp. 12-15).

Moreover, fulfilling the University's responsibilities to our students and other constituents requires evidence-based evaluations of academic programs and units based on all four of the criteria listed above.

Therefore, the questions the PEP reporting process asks of programs are questions that all faculty members should address periodically. Material from recent program reviews is relevant to some elements of the PEP review, but will not provide all of what is needed to inform the decisions that UOG faces. In preparing their submissions, programs may draw on existing program reviews where appropriate, with the understanding that the PEP process requires additional information and responding to specific questions.

### **What your academic program or research unit may wish to assemble prior to beginning work on its report:**

- \_\_\_ *The Road to the Great UOG / I Chalan Para I Ma'gas Na UOG* document
  - \_\_\_ The program's most recent self-study or internal review, with copies of evaluations and recommendations by the appropriate dean or director, and by the Senior Vice-President
  - \_\_\_ Copies of any external reviews of the program or unit
  - \_\_\_ Current CVs for all full-time and part-time faculty
  - \_\_\_ Your program's assessment reports for the past five years
  - \_\_\_ Copies of current, approved course outlines and syllabi for program courses\*
  - \_\_\_ Copies of sample current examinations and assignments\*
  - \_\_\_ A copy of your program's most recent Academic Master Plan (these should be available from your dean's office) \*
  - \_\_\_ A copy of your college or school's most recent Academic Master Plan (these should be available from your dean's office)\*
  - \_\_\_ A copy of your Program/College Recruitment and Retention Plan\*
  - \_\_\_ For professional programs: the minutes of Professional Advisory Committees and external reports provided to the specialized accrediting bodies or governing bodies\*
- \* as applicable. The PRC will consider evidence of sustainability and quality in courses offered by research units as well as by academic programs.

### **What your program will need in order to *complete* work on its submission:**

- \_\_\_ University-supplied data addressing the sustainability of your program (see below).

The Office of the Institutional Researcher, the Business Office and the Human Resources Office will provide you with summaries of the program-specific data indicated in these guidelines, so that your program's report can speak to the data that the PRC will use as a partial basis for its recommendations.

Your program's report should include commentary addressing these data. The report may contain up to a maximum of 12 pages of text, with an additional 8 pages for unit generated tables/graphs. It is important to remember that brevity, clarity of thought and responsiveness to the questions will likely lead to a better review than lengthy and intricate responses.

**Your program's report is due to the PEP Review Committee no later than November 27, 2013. Reports must be submitted electronically, in PDF format, to Terie Leon Guerrrero at [prc@ugam.uog.edu](mailto:prc@ugam.uog.edu) .**

### **A. Guidelines for Addressing the Relevance of Your Program to the University's Transition from Good to Great**

The University's Statement of Greatness appears below. Additional information on the Good to Great Process as it applies to UOG is available in the *Road to the Great UOG / I Chalan Para I Ma'gas Na UOG* document.

*The University of Guam's unique geographical location and its commitment of expertise to the needs of Guam and the Micronesian Region jointly provide the basis for greatness. The University functions as an intellectual conduit for the people and institutions of the Region, East Asia, and the world to learn from one another, within an American higher education framework.*

*Greatness consists of leadership in (1) learning, teaching, discovery, and service that preserve the essential strengths of the Region's cultures and natural resources, and (2) applying those strengths to new challenges in flexible, multiple ways that transform the students of the University, the University's partners, and the University itself.*

The attached rubrics identify specific criteria that will be used to assess academic programs' fit to the transition from Good to Great. Additional information to address this Criterion may be found at:

- For further information on addressing Criterion A.1, please refer to pgs. 3-5 and pg.13 of *Road to the Great UOG*.
- For further information on addressing Criterion A.2, please refer to pgs.1-2 and pg.13 of *Road to the Great UOG*.
- For further information on addressing Criterion A.3, please refer to <http://www.wascsenior.org>
- In addressing Criterion A.4: Identifying your academic program's plans, strategies and opportunities for achieving greatness in the future, **your program will benefit from a careful review of your program's current academic master plan (completed or in draft form) and the plan's relationship to the college or school-level plan.**

Please note that programs **are not** expected to **complete** an academic master plan (AMP) as a requirement of the PEP report, but your report should include a consideration of the academic master plan that addresses both the core commitments outlined in the University's AMP template (see below) and your plans for transitioning from good to great. An innovative response that is based on the Statement of Greatness and the University's strategic plans is also encouraged.

For more information on preparing your AMP, please refer to the following:

A UOG discussion group on the Academic Master Plan:

[http://www.linkedin.com/groups/Discussing-Academic-Master-Plan-University-4840752?goback=%2Egde\\_4840752\\_member\\_214818854%2Egmr\\_4840752](http://www.linkedin.com/groups/Discussing-Academic-Master-Plan-University-4840752?goback=%2Egde_4840752_member_214818854%2Egmr_4840752)

A sample academic master plan from one of UOG's peer institutions:

<http://www.coursehero.com/file/1157366/AcademicMasterPlan02-15-06/>

For more information regarding the AMP, and for other resources, please refer to the G2G site on the UOG Triton Portal (triton.uog.edu).

In your plans, please consider identifying specific new opportunities for your program or unit, and specific plans for taking advantage of these opportunities. For more information, please consult Robert C. Dickeson's 2010 text on *Prioritizing Academic Programs and Services: Reallocating Resources to Achieve Strategic Balance, Revised and Updated*, and the section on Opportunity Analysis of Programs, in particular. Dickeson's book is available in online formats (e.g., Kindle), or you may contact the President's Office for access to a hard copy.

## **B. Guidelines For Addressing Your Program's Sustainability**

The attached rubric lists the types of data on your program that the PRC will use to evaluate its sustainability. Available University data will be provided to your program well in advance of the deadline for your program's report as mentioned earlier.

You may want to comment on the data, and especially on any important **additional** indicators of sustainability that you would like the PRC to consider.

Please note that the PRC will inevitably balance scores on some sustainability criteria (Rubric B) with scores on relevant quality criteria (Rubric C). For example, the Committee's report will identify cases in which academic programs demonstrating low levels of rigor and/or low levels of overall quality, attract large numbers of majors and award many degrees. A high score in one criterion could be off-set by a low score in another criterion in order to assess the overall importance and quality of the program and recommendations for the future.

To take another example: though evaluating a program's sustainability includes comparisons of a given program's credit hour production, numbers of majors, and degrees awarded with the cost of salaries and benefits for full time faculty in the program, the PRC's evaluation will identify cases of programs with relatively high salary costs that have also demonstrated high levels of

program quality: e.g., in strong contributions of scholarship, service and collaborations with students, In this way, programs staffed by larger proportions of faculty early in their careers will not be unduly privileged in the review.

The last criterion listed in the rubric for evaluating sustainability addresses the extent to which your program has already considered and responded to data on sustainability, to increase your program's efficiency and effectiveness. For example, your program may have taken steps to increase its number of majors, and/or to increase enrollments.

### **C. Guidelines for Addressing Evidence of Quality in Your Program**

Academic programs receiving a rating of 4 out of 4 on Quality of Program/Activity will demonstrate the following characteristics. Research units will receive ratings on applicable criteria only; please refer to Rubric C for specifics.

**C.1 The program provides evidence of specific changes in its academic advisement process, made within the last five years that address issues in retention and graduation rates...** (continued in rubric)

For more information on this criterion, please refer to:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 2.7

Dickeson's text on prioritizing academic programs (see above) is another resource that may be helpful in addressing quality (cf. p. 13, on Resources. in *Road to the Great UOG*).

**C.2 The program provides evidence of specific changes, made within the last five years, applying information from internal and/or external evaluations of the program to improve quality...** (continued in rubric)

For more information on this criterion, please refer to:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 2.7

**C.3 The program provides documentation of consistent and systematic use of assessments, demonstrating that learning objectives are being achieved.**

**This criterion addresses the program's documented successes in meeting learning objectives.**

From Dickeson, R. (2010): Chapter 5

"What congruence exists between intended and actual learning outcomes? If electronic portfolios are used, to what degree do they illustrate growth over time?"

**C.4 The program also provides documentation of consistent and systematic use of assessments that have identified areas for improvement, and provides documentation of "closing the loop" with specific changes to the curriculum and/or pedagogy, on the basis of these analyzed assessment data.**



**This criterion addresses specific changes that the program has made in response to assessment-based evidence of gaps between learning objectives and students' actual performance.**

For more information on this criterion:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 2.4, 2.6, 4.1, 4.3, 4.4 and p. 30

**C.5 The program staffs courses with full-time and part-time faculty who have appropriate degrees and experience** (continued in rubric)...

For more information on this criterion:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf) (see CFR 2.1 and 2.2b)

From Dickeson, R. (2010): Chapter 5

“A program is inextricably connected with the people who provide it. In terms of credentials, skills, and capacities, how good are they? How intellectually current?... How do our faculty stack up against peer comparable institutions or competitor institutions? If we are to retain or expand this program... can we attract and retain the people necessary to make the program successful?...”

“The most serious decline in quality inputs in higher education in the past twenty-five years has been the increasing overreliance on part-time faculty... They cannot possibly maintain the continuity, stability and ongoing rigor required of full and active participation in academic planning, programming, advising, scholarship, and service.”

**C.6 On graduate admissions and professional licensure exams (where applicable), graduates of the program regularly score at levels that gain them acceptance in graduate degree programs at accredited institutions, or at levels required for licensure.**

Professional programs should supply documentation of graduating students' scores on licensure exams, and information on cutoff scores for admission to graduate degree programs and/or licensure.

**C.7 Course requirements (as evidenced in approved course outlines as well as syllabi, and in sample examinations and assignments) demonstrate high standards for students' performance. Each of the program's courses includes multiple substantive evaluations of the student's work that are appropriate to the content and level of the course, and applied throughout each semester or session. Distributions of grades for courses in an undergraduate program indicate rigor, such that A's are awarded to no more than 40% of the students. In graduate programs, A's constitute no more than 55% of the total grades awarded.**

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf) (see Criteria for Review 2.1, 2.2a, 2.2b, and 2.5)

[http://www.wascenior.org/files/3\\_year\\_not\\_accept\\_report\\_07\\_10\\_.pdf](http://www.wascenior.org/files/3_year_not_accept_report_07_10_.pdf)

[http://www.wascenior.org/files/Protocol\\_for\\_Review\\_of\\_Dist\\_Ed\\_Progs\\_with\\_CRAC\\_Guidelines\\_Mar\\_2010\\_.pdf](http://www.wascenior.org/files/Protocol_for_Review_of_Dist_Ed_Progs_with_CRAC_Guidelines_Mar_2010_.pdf)

Academic programs receiving a score of 4 on this criterion should provide documentation of high standards in the evaluation of student work: including specific course and program requirements indicating rigor in the evaluation of students. The distribution of course grades within the program, as provided by the Institutional Researcher's office, likewise indicates rigor. In cases where the distribution of grades indicates relatively high proportions of As and/or relatively low proportions of failing grades, program faculty provide documentation demonstrating unusually strong performance by students and instructors in the program.

In a great university, course grades of A are earned by students who have exceeded the requirements of rigorous courses. Grades of A reflect truly outstanding performance, predictive of unusual success in the student's future endeavors. This criterion requires that the academic program provide documentation that what it requires of students is appropriate to college-level work in that discipline, and to the skills that students must develop in order to succeed following graduation.

If your program awards a high proportion of A's (noting that many universities addressing the problem of grade inflation have recommended that As not exceed 40% of all grades awarded in undergraduate coursework; cf. references below), please provide documentation of how high quality students are attracted to your program and how such grades are earned. Please provide documentation of quality in the program's students and in the instruction those students receive.

For more information on the phenomenon of grade inflation, and on appropriate distributions of grades, please consult the following:

<http://www.tcrecord.org/content.asp?contentid=16473m>

<http://www.gradeinflation.com/>

<http://www.princeton.edu/main/news/archive/S25/35/65G93>

[http://thewasc.csusb.edu/newsletters/nl06\\_2002.pdf](http://thewasc.csusb.edu/newsletters/nl06_2002.pdf)

From Dickeson, R. (2010): Chapter 5

“The quality of programs can be measured by the quality of students attracted to them.”

**C.8 Programs receiving a rating of 4 on this criterion have provided evidence indicating strong success by graduates of the program in gaining appropriate employment, and success in their careers.**

If your program has information on placements and career success among graduates, please discuss that information here.

The PRC will bear in mind that not all programs have recent surveys of alumni from which to draw information. In this section, please discuss the best evidence you have of how well your program's graduates are doing in meeting their goals and the goals of the University, in terms of placement and career success.

For more information on this criterion:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), pp. 3, 26-27

From Dickeson, R. (2010): Chapter 5

“What are the degrees of student satisfaction, alumni satisfaction, employer satisfaction?... Do alumni records and placement data give insights into program success?”

**C.9 In each program receiving a grade of 4, program faculty members' peer-reviewed publications and presentations provide evidence of currency in and contributions to their fields. Faculty members engage in scholarship that addresses important issues in their respective fields, and disseminate the results in peer-reviewed conferences and journals with regional, national and international impact...** (continued in rubric)

**Peer reviewed publications involve review by academic peers from other institutions (i.e., review that is not limited to colleagues at the University of Guam); and the dissemination of knowledge should include evidence of such dissemination and use by others within the academic discipline. Submissions to popular media or the use of social media and blogs which involve minimal screening or review do not constitute fulfillment of the University's mission of disseminated discovery and scholarship.**

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 2.9 and p. 53

**C.10 Faculty in programs receiving a score of 4 provide evidence of strength in service to the University (i.e., faculty members have served in positions of leadership on major University committees), and evidence of strong community service. Some courses in the program require students to provide service to the community. Faculty members have secured external funding for their service.**

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf) (see p. 53)

**C.11 Professional degree programs receiving a score of 4 provide strong evidence of appropriate and specific qualifications for admission.**

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 2.3, 2.9 and p. 48, 52

## **D. Guidelines For Addressing Your Program's Demand and Relationships**

For further information on addressing Demand and Relationship criteria, please refer to pp. 6-8 of the *Road to the Great UOG* document. Dickeson's (2010) text on prioritizing academic programs and services (see reference in the preceding section) is another excellent resource.

Academic programs receiving a rating of 4 out of 4 on Demand and Relationships will demonstrate the following characteristics:

**D.1 The program provides evidence of specific actions taken within the last five years that demonstrate how it has responded to both internal and external customers/demand ...**(continued in rubric).

**D.5: The program provides evidence of partnerships, relationships, and/or collaborations within the last five years and explains how these support the program and the University.**

For more information on these criteria:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 2.7, 4.5, 4.6, 4.7

From Dickeson, R. (2010) on internal and external demand:

“A high degree of interdependence exists among academic disciplines, especially because programs are designed to develop well-rounded graduates. Some disciplines perform extraordinary service beyond taking care of their own majors and minors and should be given appropriate credit for doing so.”(p.74)

“Does the program produce services needed by other parts of the campus? Looking to the future, is there potential for internal demand because this program may have pioneered new approaches to collaborative learning or uses of technology likely to be emulated by other programs?” (p.74-75)

“Looking at enrollments in the program for the past five years would give a sense of direction and at least prompt penetrating questions about the choices students have been making....What is the likely potential for future enrollments...What are the characteristics of patrons, clients, or customers of the program? What other forces are at work in the surrounding environment that affect this program? Do external demands suggest that the institutions continue this program? “ (p.73)

**D.2: The program provides evidence and has explained its specific contributions within the last five years that make it essential to other programs, the entire University, and the community.**

From Dickeson, R. (2010): Chapter 5

“In many ways this criterion is the summative measure of why the program deserves to be continued or strengthened at the institution. What impact has this program had or does it promise to have? What are the benefits to the institution of offering this program? What is the connecting relationship between this program and achievement of the institution's mission?

How essential is this program to the institution? What is the relationship of this program to the success of other programs?" (p.84)

**D.3 The program provides evidence of a specific plan made within the last five years that illustrates efforts in recruitment and retention of students and faculty.**

**D.4: 'The program provides evidence of actions taken within the last five years to identify new target markets for student recruitment. The program provides an explanation of how it competes or.....(continued in rubric)**

For more information on these criteria:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 2.10,

**D6: The program demonstrates how it has repackaged the curriculum for delivery in different modalities and explains how the changes have improved the quality of the program.**

For more information on this criterion:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 4.1

From Dickeson, R. (2010): Chapter 5

“What is the degree to which this program has taken advantage of advancements in technology to enhance learning, reinforce computer skills and computer literacy to prepare students for the higher-tech world in which they will live and work, attract technological support to the institution, enhance research, and enhance program-related public service?" (p.77)

**D7: The program provides evidence of specific changes made within the last five years that address efforts to become more accessible and user friendly to faculty, staff, students, and other customers of the University. The program provides a comparison against benchmarks for best practices in its field demonstrating customer service.**

For more information on this criterion specific to student support:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), CFR 2.11, 2.13

The references provided herein are meant to offer insights into the criteria and how the PRC itself will be guided. However, you are free to add other references that you may consider more appropriate and would like the PRC to consider.

The work of the PRC is designed to make comparisons among existing programs on an institution-wide basis while we all attempt to reach measures of excellence in individual programs. A process of institutional prioritization will inevitably lead to distinctions even amongst programs that are generally good. This is why we call this process "from Good to Great."

## SCORING BY THE PEP Review Committee (PRC)

The PRC will score each response with a rating of between 1 and 4. One indicates the lowest rating possible and four indicates that the response merits the highest rating possible. The pattern of ratings will lead to a final score for each of the Criteria (A-D). The PRC will make the determination whether the final score for each of the Criteria will be done by consensus, through votes and whether averages for individual responses per question will be used as the guide for determining the final rating. It is important to remember that the number of points possible for each of the Four Criteria is weighted and will be as follows:

Criteria A	Relevance and fit to the Great UOG	8 points
Criteria B	Sustainability	4 points
Criteria C	Quality	4 points
Criteria D	Quality	4 points

The PRC will be formulated from all segments of the UOG community, but it requires a shift in the mindset from “Department Delegate” to “Institutional Trustee.” As Dickeson reminds us,

“Prioritization is not about politics as usual. It is an extraordinary undertaking with the future of the institution at stake, and the members of the steering committee are essential stewards in seeing that the process is fair and the results are in the best interest of the institution.”

## GOOD TO GREAT SCHEDULE

<b>August 19 - Sept 6, 2013</b>	Meetings with Deans/Directors/Administrative Units
<b>September 9 - November 27, 2013</b>	PEP process by academic/research programs and support units
<b>November 27, 2013</b>	Final deadline to submit PEP Reports to PEP Review Committee
<b>January 21, 2014</b>	Final deadline for PEP Review Committee to submit analysis/review to Faculty Senate/Administrative Council/Staff Council.
<b>January 21 – February 14, 2014</b>	Final deadline for feedback/clarification by individual Programs and Units
<b>March 21, 2014</b>	Final deadline for Faculty Senate/Administrative Council/Staff Council to submit analysis/review to AVP, SVP, and VPAF
<b>March 24 - April 18, 2014</b>	Review of PEP Reports/analysis by AVP, VPAF and SVP

<b>April 21 - May 9, 2014</b>	Final Review by President
<b>May 12 - 23, 2014</b>	Dissemination of G2G Plan
<b>Fall 2014</b>	Implementation of G2G Plan

## **GOOD TO GREAT RESOURCES AND KEY PERSONNEL**

### Key staffer:

Terrie Leon Guerrero - main collector of data and staff person for the PRC  
[terielg@uguam.uog.edu](mailto:terielg@uguam.uog.edu) or 735-2976

### Resource people:

Deborah (Dee) Leon Guerrero – Director for Academic Assessment and Institutional Research

- Can provide institutional/program data and statistics based on request by program regarding enrollment, student demographics, etc. (subject to actual data collection).  
[deborah@uguam.uog.edu](mailto:deborah@uguam.uog.edu) or 735-2585

Larry Gamboa – Chief Human Resources Officer

- Can provide institutional/program employment data and statistics based on program request. [lgamboa@uguam.uog.edu](mailto:lgamboa@uguam.uog.edu) or 735-2350

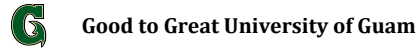
Peter Barcinas/Gena Rojas – Cooperative Extension Services CYFFN

- Can assist units/programs in understanding and identification of activities related to G2G Data Elements such as engagement, market demand, finances and data/statistics within their areas and other areas of UOG. [pbarcina@uguam.uog.edu](mailto:pbarcina@uguam.uog.edu) or 735-2055 and [grojas@uguam.uog.edu](mailto:grojas@uguam.uog.edu) or 735-2056

G2G Force Members – Can answer questions regarding the purpose of the PEP process and in application of the G2G Data Elements to individual programs/units. See table for contact information.

<b>G2G Force Members</b>	<b>Email address</b>
<b>Anita Enriquez</b> , School of Business and Public Administration	<a href="mailto:abe@uguam.uog.edu">abe@uguam.uog.edu</a>
<b>Larry Gamboa</b> , Human Resources Office	<a href="mailto:lgamboa@uguam.uog.edu">lgamboa@uguam.uog.edu</a>
<b>Mohammad Golabi</b> , College of Natural and Applied Sciences	<a href="mailto:mgolabi@uguam.uog.edu">mgolabi@uguam.uog.edu</a>
<b>David Gugin</b> , College of Liberal Arts and Social Sciences	<a href="mailto:dgugin@uguam.uog.edu">dgugin@uguam.uog.edu</a>
<b>Margaret Hattori-Uchima</b> , School of Nursing and Health Sciences	<a href="mailto:muchima@uguam.uog.edu">muchima@uguam.uog.edu</a>
<b>Jimmy Huang</b> , College of Liberal Arts and Social Sciences	<a href="mailto:chuang@uguam.uog.edu">chuang@uguam.uog.edu</a>
<b>Rachael Leon Guerrero</b> , College of Natural and Applied Sciences	<a href="mailto:rachaeltlg@uguam.uog.edu">rachaeltlg@uguam.uog.edu</a>
<b>Shaun Manibusan</b> , Information Technology Resource Center	<a href="mailto:shaunm@uguam.uog.edu">shaunm@uguam.uog.edu</a>
<b>Bob McIntosh</b> , Plant and Facilities	<a href="mailto:rjmtosh@uguam.uog.edu">rjmtosh@uguam.uog.edu</a>
<b>Cathleen Moore-Linn</b> , Professional and International Programs	<a href="mailto:cmoore@uguam.uog.edu">cmoore@uguam.uog.edu</a>
<b>Unaisi Nabobo-Baba</b> , School of Education	<a href="mailto:nabobo_u@uguamlive.uog.edu">nabobo_u@uguamlive.uog.edu</a>
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<b>David Okada</b> , Office of the President	<a href="mailto:dsokada@uguam.uog.edu">dsokada@uguam.uog.edu</a>
<b>John Peterson</b> , Assistant Vice President, Graduate Studies, Sponsored Programs and Research	<a href="mailto:jpeterson@uguam.uog.edu">jpeterson@uguam.uog.edu</a>
<b>Jesse Quenga</b> , Student Government Association	<a href="mailto:sga.president.quenga@gmail.com">sga.president.quenga@gmail.com</a>
<b>Tim Righetti</b> , College of Natural and Applied Sciences (CNAS)	<a href="mailto:trighetti@uguam.uog.edu">trighetti@uguam.uog.edu</a>
<b>Fred Schumann</b> , School of Business and Public Administration	<a href="mailto:schumann@uguam.uog.edu">schumann@uguam.uog.edu</a>
<b>James Sellmann</b> , College of Liberal Arts and Social Sciences	<a href="mailto:jsellman@uguam.uog.edu">jsellman@uguam.uog.edu</a>
<b>Kyle Smith</b> , College of Liberal Arts and Social Sciences	<a href="mailto:kylesmithuog@gmail.com">kylesmithuog@gmail.com</a>
<b>Gloria Travis</b> , Administration and Finance	<a href="mailto:gtravis@uguam.uog.edu">gtravis@uguam.uog.edu</a>
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<b>Louise M. Toves</b> , Office of the President	<a href="mailto:lmtoves@uguam.uog.edu">lmtoves@uguam.uog.edu</a>
<b>Robert A. Underwood</b> , President	<a href="mailto:raunderwood@uguam.uog.edu">raunderwood@uguam.uog.edu</a>





Data elements to evaluate academic/research programs based on four categories:

	A = 40%	B = 20%	C = 20%	D = 20%
No.	Relevance/Fit to the Great UOG	Sustainability	Quality of Program/Activity	Demand and Relationships
1	What is the statement of programmatic greatness?	What is the program's credit hour production by subject and class level?	What specific changes have you made in your academic advising process to address retention and graduation rates?	What evidence does the program have to demonstrate responsiveness to internal/external demand?
2	How does the program statement fit to the University's statement of greatness?	How many degrees were conferred in the program?	How has the program utilized internal / external evaluative evidence, to include student data and characteristics, to improve quality?	How is your program essential to other programs and to the entire University?
3	What evidence does the program have to demonstrate this fit?	What are the numbers of majors and minors in the program?	What are the qualifications of full- and part-time faculty?	Describe your recruitment base and recruitment activities.
4	What plans, strategies and opportunities has the program identified to achieve greatness in the future?	How many full-time faculty are in the program?	In what ways has the program implemented recommendations from the program review process and 'closed the loop' on the basis of analyzed assessment data?	What new target markets for student recruitment has your program identified? How will you compete in those markets?
5		How many adjunct faculty are in the program and how are they used?	How have the program's students scored on national standardized achievement exams, graduate admissions exams, or professional licensure exams?	What partnerships, relationships, and/or collaborations does your program engage in?
6		What is the total cost of salaries and benefits for the full-time faculty in the program?	What evidence is there that the program learning outcomes are being achieved?	Has the program repackaged its curriculum for delivery in different modalities? In what ways?
7		What is the average class enrollment size in the program's upper division courses?	How do program and course requirements and grade distributions demonstrate high standards?	How have you made your program accessible and user-friendly?
8		What is the six-year graduation rate for the program (at the sophomore level by Fall semesters)?	What are the placements of your graduates?	
9		What is the total number and amount of grants, contracts, or external funding?	How do scholarly productions / activities (e.g., peer-reviewed publications, presentations, grants, creative activities, leadership in professional associations, etc.) by faculty and students demonstrate program quality?	
10		How much indirect cost is brought in from grants by the program?	How do internal / external service activities by students and faculty demonstrate program quality?	

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11		What is the program retention rate year-to-year?	What are the qualifications of students in the program (e.g, GPA of students in courses external to program, etc.)?	
12		What data has the program analyzed to assess efficiency and effectiveness?		
13		What is the program retention rate year-to-year?		
14		For smaller programs, is there critical mass to offer the program?		



**Relevance / Fit to the Great UOG**

Relevance/Fit to the Great UOG		Criteria	1	2	3	4	Criteria	RATING
A.1	<b>What is the statement of programmatic greatness?</b>	The program has written a Statement of Greatness that does not identify what the program cares most passionately about, what the program can do best in the world, and what the programs current and potential revenue sources are.					The program has written a Statement of Greatness that focuses on what the program cares most passionately about, what the program can do best in the world, and what the programs current and potential revenue sources are.	
A.2	<b>How does the program statement fit to the University's statement of greatness?</b>	The program has not described how its Statement of Greatness fits with the University's Statement of Greatness.					The program has successfully described how its Statement of Greatness fits with the University's Statement of Greatness.	
A.3	<b>What evidence does the program have to demonstrate this fit?</b>	The program does not provide evidence that demonstrates how its Statement of Greatness fits with the University's Statement of Greatness.					The program provides clear evidence that demonstrates how its Statement of Greatness fits with the University's Statement of Greatness.	
A.4	<b>What plans, strategies and opportunities has the program identified to achieve greatness in the future?</b>	The program has not demonstrated how it will achieve greatness in the future. The program's plans, if any, involve goals, objectives or strategies that do not align with specific UOG Core Commitments and Strategic Initiatives.					The program has successfully demonstrated how it will achieve greatness in the future. The program's plans articulate goals, objectives and strategies that align with the Program's mission and with specific UOG Core Commitments and Strategic Initiatives.	
<b>OVERALL RATING (MAXIMUM 8 PTS)</b>								



Sustainability

Sustainability		Criteria	1	2	3	4	Criteria	Rating
B.1*	<b>What is the program's credit hour production by subject and class level?</b>	Credit hour production per full-time program faculty member is low. The ratios of the program's credit hour production (compared by course level, for undergraduate programs) per average number of full-time faculty members, over the past five years, place the program in the lowest quartile of degree programs throughout the University.					Credit hour production per full-time program faculty member is high. The ratios of the program's credit hour production (compared by course level, for undergraduate programs) per average number of full-time faculty members, over the past five years, place the program in the highest quartile of degree programs throughout the University.	
B.2*	<b>How many degrees were conferred in the program?</b>	The program awards relatively few degrees. The ratio of the number of degrees conferred by the program (over the past five years) to the average number of full-time faculty in the program during that period places it in the lowest quartile of degree programs throughout the University. Note: The PEP Review Committee's report should address this rating and program quality simultaneously. The report should identify those programs in which few degrees are awarded, but with high standards (i.e., high ratings on indices of program quality (Rubric C)).					The program awards many degrees. The ratio of the number of degrees conferred by the program (over the past five years) to the average number of full-time faculty in the program during that period places it in the highest quartile of degree programs throughout the University. Note: The PEP Review Committee's report should address this rating and program quality simultaneously. The report should identify those programs in which many degrees are awarded, but with low standards (i.e., low ratings on indices of program quality (Rubric C)).	
B.3*	<b>What are the numbers of majors and minors in the program?</b>	The program attracts few majors and minors. The ratios of majors and minors to full-time faculty in the program, averaged across the past five years, place the program in the lowest quartile of degree programs throughout the University. Note: The Committee's report should address this rating and program quality simultaneously.					The program attracts many majors and minors. The ratios of majors and minors to full-time faculty in the program, averaged across the past five years, place the program in the highest quartile of degree programs throughout the University. Note: The Committee's report should address this rating and program quality simultaneously.	
B.4*	<b>How many full-time faculty are in the program?</b>	The program staffs upper division or graduate courses with a comparatively low proportion of full-time faculty. The ratio of the number of upper division or graduate courses staffed with full-time faculty to the number of upper division or graduate courses staffed with adjuncts, over the past five years, places the program in the lowest quartile of degree programs throughout the University.					The program staffs upper division or graduate courses with a comparatively high proportion of full-time faculty. The ratio of the number of upper division or graduate courses staffed with full-time faculty to the number of upper division or graduate courses staffed with adjuncts, over the past five years, places the program in the highest quartile of degree programs throughout the University.	
B.5*	<b>How many adjunct faculty are in the program and how are they used?</b>	The program has not provided a coherent explanation of how it uses adjunct faculty.					The program has provided a clear explanation of how it uses adjunct faculty.	
B.6a	<b>What is the total cost of salaries and benefits for the full-time faculty in the program?</b>	The ratios of program's credit hour production (compared by course level, for undergraduate programs) to the average cost of salaries and benefits of full-time faculty members in the program, over the past five years, place the program in the lowest quartile of degree programs throughout the University.					The ratios of program's credit hour production (compared by course level, for undergraduate programs) to the average cost of salaries and benefits of full-time faculty members in the program, over the past five years, place the program in the highest quartile of degree programs throughout the University.	
B.6b		The ratio of the number of degrees conferred by the program (over the past five years) to the average total cost of salaries and benefits for full-time faculty in the program during that period places it in the lowest quartile of degree programs throughout the University.					The ratio of the number of degrees conferred by the program (over the past five years) to the average total cost of salaries and benefits for full-time faculty in the program during that period places it in the highest quartile of degree programs throughout the University.	
B.6c		The ratios of majors and minors to the average cost of salaries and benefits for full-time faculty in the program, averaged across the past five years, place the program in the lowest quartile of degree programs throughout the University.					The ratios of majors and minors to the average cost of salaries and benefits for full-time faculty in the program, averaged across the past five years, place the program in the highest quartile of degree programs throughout the University.	
B.7*	<b>What is the average class enrollment size in the program's upper division courses?</b>	The average class enrollment size in upper division courses demonstrates inefficient use of resources and places the program in the lowest quartile of degree programs throughout the University.					The average class enrollment size in upper division courses demonstrates efficient use of resources and places the program in the highest quartile of degree programs throughout the University.	
B.8*	<b>What is the six-year graduation rate for the program (at the sophomore level by Fall semesters)?</b>	The program's six-year graduation rate places the program in the lowest quartile of degree programs throughout the University.					The program's six-year graduation rate places the program in the highest quartile of degree programs throughout the University.	
B.9*	<b>What is the total number and amount of grants, contracts, or external funding?</b>	The per-full time faculty member average amount of funds in competitive grants and contracts obtained by faculty in the program over a five-year period places the program in the lowest quartile of degree programs or research units (as appropriate) throughout the University.					The per-full time faculty member average amount of funds in competitive grants and contracts obtained by faculty in the program over a five-year period places the program in the highest quartile of degree programs or research units (as appropriate) throughout the University.	

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B.10*	<b>How much indirect cost is brought in from grants by the program?</b>	The per-full time faculty member average amount of indirect cost funds brought in by faculty in the academic program or research unit (as appropriate) over a five-year period places the unit in the lowest quartile of research units throughout the University.					The per-full time faculty member average amount of indirect cost funds brought in by faculty in the program over a five-year period places the academic program or research unit (as appropriate) in the highest quartile of degree programs throughout the University.	
B.11*	<b>What is the program retention rate year-to-year?</b>	The program's retention rate over a five-year period places the program in the lowest quartile of degree programs throughout the University.					The program's retention rate over a five-year period places the program in the highest quartile of degree programs throughout the University.	
B.12*	<b>What data has the program analyzed to assess efficiency and effectiveness?</b>	In its report, the academic program/research unit fails to demonstrate understanding of the relationship between resources, their acquisition and efficient use, and the task of meeting the program's operational objectives.					In its report, the academic program/research unit demonstrates its understanding of the relationship between resources, their acquisition and efficient use, and the task of meeting the program's operational objectives.	
<b>OVERALL RATING (MAXIMUM 4 PTS)</b>								



Quality of Program

Quality		Criteria	1	2	3	4	Criteria	Rating
C.1	<b>What specific changes have you made in your academic advising process to address retention and graduation rates?</b>	The program does not provide evidence of specific changes in its academic advisement process, made within the last five years, that address issues in retention and graduation rates.					The program provides evidence of specific changes in its academic advisement process, made within the last five years, that address issues in retention and graduation rates. Changes prior to the most recent program review self-study (if submitted within the past five years) are documented in that self-study.	
C.2	<b>How has the program utilized internal / external evaluative evidence, to include student data and characteristics, to improve quality?</b>	The program provides no documentation of compliance with specific recommendations from its most recent program review completed two or more years prior to the PEP report. The program also provides no documentation of specific changes made within the last five years that apply information from other internal and/or external evaluations of the program to improve quality.					The program provides evidence of specific changes made within the last five years, applying information from internal and/or external evaluations of the program to improve quality. (Documentation must be available; e.g., approved course outlines, approved requests for course revisions, etc., on file with the College/School and with the University.) The program provides documentation of compliance with specific recommendations from its most recent program review completed two or more years prior to the PEP report. The program may also provide evidence of compliance with recommendations from a more recently completed program review, where applicable. Changes prior to the most recent program review self-study (if submitted within the past five years) are documented in that self-study.	
C.3	<b>What evidence is there that the program learning outcomes are being achieved?</b>	The program provides no documentation of consistent and systematic use of assessments demonstrating that learning objectives are being achieved.					The program provides documentation of consistent and systematic use of assessments demonstrating that learning objectives are being achieved.	
C.4	<b>In what ways has the program implemented recommendations from the program review process and 'closed the loop' on the basis of analyzed assessment data?</b>	The program provides no documentation of consistent and systematic use of assessments that have identified areas for improvement, nor documentation of "closing the loop" with specific changes to the curriculum and/or pedagogy, on the basis of analyzed assessment data.					The program provides documentation of consistent and systematic use of assessments that have identified areas for improvement, and provides documentation of "closing the loop" with specific changes to the curriculum and/or pedagogy, on the basis of analyzed assessment data.	
C.5	<b>What are the qualifications of full- and part-time faculty?</b>	The program staffs courses with full-time and/or part-time faculty who lack appropriate degrees and/or experience: faculty who are demonstrably less qualified than faculty staffing courses in UOG's peer institutions, as evidenced by verifiable elements of <i>curriculum vitae</i> . Alternatively, the program does not provide access to the <i>curriculum vitae</i> of full-time and/or part-time faculty.					The program staffs courses with full-time and part-time faculty who have appropriate degrees and experience, demonstrably comparable to those of faculty staffing courses in UOG's peer institutions, as evidenced by verifiable elements of <i>curriculum vitae</i> .	
C.6	<b>How have the program's students scored on national standardized achievement exams, graduate admissions exams, or professional licensure exams?</b>	On graduate admissions exams or professional licensure exams (where applicable), graduates of the program regularly score below levels that would gain them acceptance in graduate degree programs at accredited institutions, or at levels required for licensure.					On graduate admissions exams or professional licensure exams (where applicable), graduates of the program regularly score at levels that gain them acceptance in graduate degree programs at accredited institutions, or at levels required for licensure.	
C.7	<b>How do program and course requirements and grade distributions demonstrate high standards?</b>	Course requirements (as evidenced in approved course outlines as well as syllabi) set low standards for students' performance, or no identifiable standards at all. Many of the program's courses make use of evaluations of the student's work that are inappropriately limited, and/or inappropriate to the content and level of the course, and/or apply evaluations only sporadically during the semester or session. Alternatively, the program does not provide access to up-to-date course outlines and syllabi, and/or to sample examinations and assignments. Distribution of grades for courses in an undergraduate program do not indicate rigor. A's are awarded to more than 40% of the students. In graduate programs, A's constitute more than 55% of the total grades awarded.					Course requirements (as evidenced in approved course outlines as well as syllabi, and in sample examinations and assignments) demonstrate high standards for students' performance. Each of the program's courses includes multiple substantive evaluations of the student's work that are appropriate to the content and level of the course, and applied throughout each semester or session. Distributions of grades for courses in an undergraduate program indicate rigor, such that A's are awarded to no more than 40% of the students. In graduate programs, A's constitute no more than 55% of the total grades awarded.	
C.8	<b>What are the placements of your graduates?</b>	Programs receiving a rating of 1 on this criterion have not provided evidence indicating success by graduates of the program in gaining appropriate employment, and success in their careers.					Programs receiving a rating of 4 on this criterion have provided evidence indicating strong success by graduates of the program in gaining appropriate employment, and success in their careers.	

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C.9	<b>How do scholarly productions / activities (e.g., peer-reviewed publications, presentations, grants, creative activities, leadership in professional associations, etc.) by faculty and students demonstrate program quality?</b>	Program faculty members' publications and presentations provide little evidence of currency in—or contributions to—their fields. Faculty members do not engage in peer-reviewed scholarship that addresses important issues in their respective fields, and/or do not disseminate findings in peer-reviewed conferences and journals with national and international impact. Faculty members do not provide opportunities for students to contribute to programmatic research, or to publish/co-present as co-authors.					Program faculty members' peer-reviewed publications and presentations provide evidence of currency in and contributions to their fields. Faculty members engage in scholarship that addresses important issues in their respective fields, and disseminate the results in peer-reviewed conferences and journals with regional, national and international impact. Faculty members provide opportunities for students to contribute to programmatic research and to publish/co-present as co-authors.	
C.10	<b>How do internal / external service activities by students and faculty demonstrate program quality?</b>	Faculty members provide neither evidence of strength in service to the University (i.e., faculty members have not served in positions of leadership on major University committees), nor evidence of strong community service. Courses in the program do not require students to provide service to the community. Funding for faculty members' service, consists almost entirely of internal sources.					Faculty members provide evidence of strength in service to the University (i.e., faculty members have served in positions of leadership on major University committees), and evidence of strong community service. Some courses in the program require students to provide service to the community. Faculty members have secured external funding for their service.	
C.11	<b>For students in professional degree programs, what are the qualifications for admission?</b>	The professional degree program provides no evidence of specific qualifications for admission.					The professional degree program provides strong evidence of appropriate and specific qualifications for admission.	
							<b>OVERALL RATING (MAXIMUM 4 PTS)</b>	



**Demand and Relationship**

Demand and Relationship		Criteria	1	2	3	4	Criteria	Rating
D.1	<b>What evidence does the program have to demonstrate responsiveness to internal/external demand?</b>	The program provides no evidence that demonstrates responsiveness to internal and external customers/demand within the last five years. The program does not provide an explanation of responsiveness to internal and external customers, including other programs and units of UOG, students, the private sector, the community-at-large, and/or the region.					The program provides evidence of specific actions taken within the last five years that demonstrate how it has responded to both internal and external customers/demand. The program provides an explanation of responsiveness to internal and external customers including other programs and units of UOG, students, the private sector, the community-at-large, and/or the region.	
D.2	<b>How is your program essential to other programs and to the entire University?</b>	The program provides no evidence of specific contributions within the last five years that make it essential to other programs, the entire University, and the community.					The program provides evidence of and has explained its specific contributions within the last five years that make it essential to other programs, the entire University, and the community.	
D.3	<b>Describe your recruitment base and recruitment activities.</b>	The program provides no evidence of a recruitment and retention plan for students and faculty, made within the last five years.					The program provides evidence of a specific plan made within the last five years that illustrates efforts in recruitment and retention of students and faculty.	
D.4	<b>What new target markets for student recruitment has your program identified? How will you compete in those markets?</b>	The program provides no evidence of actions taken within the last five years to identify new target markets for student recruitment and does not provide evidence of a plan to compete in those markets. The program does not provide evidence that it demonstrates an understanding of the market, market forces, and market demand in its field.					The program provides evidence of actions taken within the last five years to identify new target markets for student recruitment. The program provides an explanation of how it competes or plans to compete in those markets. The program provides evidence that it demonstrates an understanding of the market, market forces, and market demand in its field.	
D.5	<b>What partnerships, relationships, and/or collaborations does your program engage in?</b>	The program provides no evidence of engagement in partnerships, relationships, and/or collaborations within the last five years.					The program provides evidence of partnerships, relationships, and/or collaborations within the last five years and explains how these support the program and the University.	
D.6	<b>In what ways has the program repackaged its curriculum for delivery in different modalities?</b>	The program provides no evidence of repackaging the curriculum for delivery in different modalities. The program provides no evidence of how any changes have impacted the quality of the program.					The program demonstrates how it has repackaged the curriculum for delivery in different modalities and explains how the changes have improved the quality of the program.	
D.7	<b>How have you made your program accessible and user-friendly?</b>	The program provides no documentation of efforts made within the last five years to become accessible and user-friendly. It provides no comparison against benchmarks for best practices in its field demonstrating customer service.					The program provides evidence of specific changes made within the last five years that address efforts to become more accessible and user friendly to faculty, staff, students, and other customers of the University. The program provides a comparison against benchmarks for best practices in its field demonstrating customer service.	
<b>OVERALL RATING (MAXIMUM 4 PTS)</b>								



## **GUIDELINES for UOG ADMINISTRATIVE/SUPPORT UNITS' PEP REPORT SUBMISSIONS**

President Underwood has initiated the Program Evaluation and Planning (PEP) Process described in the document, *Road to the Great UOG/I Chalan Para I Ma'gas Na UOG*. As a part of this process, your administrative/support unit is required to submit an evidence-based report.

The PEP Process is “an evaluative process that will culminate in concrete plans for resources and activities” for the University (*I Chalan Para I Ma'gas Na UOG*, p. 9). This process is based on four broad criteria for analysis: (A) Fit to the University’s Statement of Greatness, (B) Sustainability, (C) Quality, and (D) Demand and Relationships. The Good to Great (G2G) process was initiated by the President in response to internal and external trends in higher education and the need to clarify and strengthen the institution’s role in Guam and the region. This guide, the process (including the questions), the rubrics and the timeline were determined based on the input and guidance of the G2G Force. The Force was a representative group, consisting of (9) faculty, (11) administrators, (2) staff and (1) student, which worked on a consensus basis with the President facilitating most of the meetings.

The goals of the PEP Review are described in detail in the *I Chalan Para I Ma'gas Na UOG* document. The review will produce rankings of programs and units, and will conclude with recommendations from the PEP Review Committee (PRC) to the Administration: including recommendations for aligning or restructuring support units. Prior to the submission to the senior administration for final determination, the PECRC recommendations will be submitted to the Administrative Council, Staff Council and Faculty Senate for review and independent commentary in accordance with the University’s commitment to a shared governance process.

The purpose of this guide is to provide additional information that will help your administrative/support unit to prepare its report, along with a copy of the rubrics that the PRC will use to evaluate support units. A rubric is a scoring tool that explicitly represents the performance expectations for the work of the administrative/support units. It divides the assigned work into component parts and provides clear descriptions of the characteristics of the work associated with each component, at varying levels of mastery. Rubrics can be used for a wide array of assignments (e.g., papers, projects, performances, etc.) and are used as scoring guides to provide formative feedback to support and guide ongoing efforts to go from “Good to Great” (Carnegie Mellon website).

This guide also provides links to information on how the goals of the PEP Process align with requirements for the University’s accreditation.

### **Accreditation Requires Institutional Reflection and Planning**

Our accrediting body, the Western Association of Schools and Colleges (WASC), requires

that the University of Guam periodically engage "its multiple constituencies, including the governing board, faculty, staff, and others, in institutional reflection and planning processes that are based on the examination of data and evidence. These processes assess the institution's strategic position, articulate priorities, examine the alignment of its purposes, core functions, and resources, and define the future direction of the institution." WASC also requires that, within the context of our mission and structural and financial realities, the University "considers changes that are currently taking place and are anticipated to take place within the institution and higher education environment as part of its planning, new program development, and resource allocation" (WASC 2013 Handbook of Accreditation (July 2013), pp. 18-19).

Moreover, fulfilling the University's responsibilities to our students and other constituents requires evidence-based evaluations of academic programs and units based on all four of the G2G criteria listed above.

Standard 3 of the WASC Handbook refers to the role of infrastructure and support:

*"The institution sustains its operations and supports the achievement of its educational objectives through investments in human, physical, fiscal, technological, and information resources and through an appropriate and effective set of organizational and decision-making structures. These key resources and organizational structures promote the achievement of institutional purposes and educational objectives and create a high-quality environment for learning" (p. 18).*

Therefore, the questions the PEP reporting process asks of units are questions that units should address periodically. Material from unit plans and audits are relevant to some elements of the PEP review, but will not provide all of what is needed to inform the decisions that UOG faces. In preparing their submissions, units may draw on existing plans, reports and audits where appropriate, with the understanding that the PEP process requires additional information and responding to specific questions.

### **What your unit may wish to assemble prior to beginning work on its report:**

- *Road to the Great UOG / I Chalan Para I Ma'gas Na UOG* document
- The unit's most recent unit plan, budgets, copies of evaluations, prior reports, prior audits and recommendations by the appropriate administrator
- Current resumes or list of qualifications for all unit personnel
- Analysis and recommendations of unit processes and procedures

Other resources are available on the G2G site on the UOG triton portal ([triton.uog.edu](http://triton.uog.edu)).

### **What your unit will need to complete its report:**

- University-supplied data addressing the sustainability of your unit (see below)

The Office of the Institutional Researcher, the Business Office, and the Human Resources Office will provide you with summaries of unit data indicated in these guidelines, so that your unit's report can speak to the data that the PRC will use as a partial basis for its recommendations.

Your unit's report should include commentary addressing these data. The report may contain up to a maximum of 12 pages of text, with an additional 8 pages for unit generated tables/graphs. It is important to remember that brevity, clarity of thought and responsiveness to the questions will likely lead to a better review than lengthy and intricate responses.

**Your unit's report is due to the PEP Review Committee no later than November 27, 2013. Reports must be submitted electronically, in PDF format, to Terie Leon Guerrrero at [prc@ugam.uog.edu](mailto:prc@ugam.uog.edu) .**

### **A. Guidelines for Addressing the Relevance of Your Unit to the University's Transition from Good to Great**

The University's Statement of Greatness appears below. Additional information on the Good to Great Process as it applies to UOG is available in the *Road to the Great UOG / I Chalan Para I Ma'gas Na UOG* document.

*The University of Guam's unique geographical location and its commitment of expertise to the needs of Guam and the Micronesia Region jointly provide the basis for greatness. The University functions as an intellectual conduit for the people and institutions of the Region, East Asia, and the world to learn from one another, within an American higher education framework.*

*Greatness consists of leadership in (1) learning, teaching, discovery, and service that preserve the essential strengths of the Region's cultures and natural resources, and (2) applying those strengths to new challenges in flexible, multiple ways that transform the students of the University, the University's partners, and the University itself.*

The attached rubrics identify specific criteria that will be used to assess the units' fit to the transition from Good to Great. Additional information to address this Criterion may be found at:

- For further information on addressing Criterion A.1, please refer to pgs. 3-5 and pg. 13 of *Road to the Great UOG*.
- For further information on addressing Criterion A.2, please refer to pgs. 1-2 and pg. 13 of *Road to the Great UOG*.
- For further information on addressing Criterion A.3, please refer to (see Core Commitments and Standard 1)

- In addressing Criterion A.4: Identifying your unit's plans, strategies and opportunities for achieving greatness in the future, ***your unit will benefit from a careful review of your unit's current strategic direction (completed or in draft form) and the plan's relationship to the University's plan.***

Please note that units **are not** expected to **complete** strategic plans as a requirement of the PEP report, but your report must be consistent with your strategic direction that perhaps could include addressing the core commitments of the University, WASC core commitments and standards, and the units' plans for transitioning from good to great. An innovative response that is based on the Statement of Greatness and the University's strategic plans is also encouraged.

In your plans, please consider identifying specific new opportunities for your unit and specific plans for taking advantage of these opportunities. For more information please consult Robert C. Dickeson's 2010 text on *Prioritizing Academic Programs and Services: Reallocating Resources to Achieve Strategic Balance, Revised and Updated*, and on the section on Opportunity Analysis of Programs, in particular. Dickeson's book is available in online formats (e.g., Kindle), or you may contact the President's Office for access to a hard copy.

## **B. Guidelines for Addressing Your Unit's Sustainability**

The attached rubric lists the types of data on your unit that the PRC will use to evaluate its sustainability. Available University data will be provided to you in advance of the deadline for your unit's report as mentioned earlier.

You may want to comment on the data, and especially on any important **additional** indicators of sustainability that you would like the PRC to consider.

Please note that the PRC will inevitably balance scores on some sustainability criteria (Rubric B) with scores on relevant quality criteria (Rubric C). For example, the Committee's report will identify cases in which units demonstrating low levels of overall quality. A low score in one criterion could be off-set by a high score in other criteria to assess the overall importance and quality of the unit and recommendations for the future.

The last criterion listed in the rubric for evaluating sustainability addresses the extent to which your unit has already considered and responded to data on sustainability to increase your unit's efficiency and cost effectiveness. For example, your unit may have taken steps to increase its response time to requests (e.g., personnel actions, purchase orders, budget updates, etc.).

For further information on addressing this criterion, please refer to the 2013 WASC Handbook on Accreditation (July 2013) which may be found at:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), (see Standard 3 and CFR 3.4, 3.5, 3.7, 3.9, 4.6, 4.7).

### **C. Guidelines for Addressing Evidence of Quality in Your Unit**

Units receiving a rating of 4 out of 4 on Quality of Unit will demonstrate the following characteristics:

C.1 The unit provides evidence of specific changes to its procedures, made within the last five years, which address student/program/unit support and institutional success.

C.2 The unit provides evidence of specific changes and improvements, made within the last five years, applying information from internal and/or external evaluations of the unit. The unit provides documentation of compliance with specific recommendations from recent unit reviews or unit reviews or suggestions.

C.3 The unit's human resources – full-time and/or part-time – possess appropriate degrees and/or knowledge, skills, and experience required to fulfill its mission.

C.4 The unit has successfully demonstrated planning, implementation, and evaluation of its role, functions, programs, and services against established and agreed upon goals and objectives.

C.5 The unit has clearly defined “quality” and conducts regular evaluations to obtain evidence that progress is being made and goals are being achieved.

For further information on addressing this criterion, please refer to the 2013 WASC Handbook of Accreditation (July 2013) which may be found at [http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf), (see Standard 3 and CFR 1.6, 1.7, 3.1, 3.2,3.4, 3.5, 3.6,3.7, 3.9, 4.1, 4.2, 4.3, 4.6, 4.7).

### **D. Guidelines for Addressing Your Unit's Demand and Relationships**

For further information on addressing Demand and Relationship criteria, please refer to pp. 6-8 and p. 13 of the *Road to the Great UOG* document. Dickeson's (2010) text on prioritizing academic programs and services is another excellent resource.

Dickeson, R. C. (2010). *Prioritizing Academic Programs and Services: Reallocating Resources to Achieve Strategic Balance*. Revised and Updated. San Francisco: Jossey-Bass (see pp. 60 – 63; 161 – 163; 178 - 182).

Units receiving a rating of 4 out of 4 on Demand and Relationships will demonstrate the following characteristics:

D.1 The unit provides clear evidence of specific actions taken within the last five years that demonstrate how it has responded to both internal and external customers/demand. The unit provides an explanation of responsiveness to internal and external customers including other support units and academic programs of UOG, students, the private sector, the community-at-large, and/or the region.

D.2 The unit provides clear evidence and has explained its specific contributions within the last five years that make it essential to other units, the University, and the community.

D.3 The unit provides clear evidence of its effective role in student recruitment and retention. The unit also encourages services to improve recruitment and retention of students and faculty.

D.4 The unit provides clear evidence of partnerships, relationships, membership in professional associations, and/or collaborations within the last five years and explains how these support the unit and the University.

D.5 The unit successfully demonstrates how it has improved its service delivery and the quality of the unit. The unit provides documentation of specific changes made within the last five years that address efforts to become more accessible and user friendly to faculty, staff, students, and other customers of the University.

For further information on addressing this criterion, please refer to the 2013 WASC Handbook of Accreditation (July 2013) which may be found at:

[http://www.wascsenior.org/files/2013\\_handbook\\_of\\_accreditation\\_0.pdf](http://www.wascsenior.org/files/2013_handbook_of_accreditation_0.pdf) (see Standard 1 and 4 and CFR 1.1, 1.6, 3.2, 4.6, 4.7).

An additional resource may be found in Appendix A of this document. This resource provides a plan for managing customer service which includes guiding questions to assist the unit in articulating their response to Criterion D – Demand and Relationships.

## **Use of References**

The references provided herein are meant to offer insights into the criteria and how the PRC itself will be guided. However, you are free to add other references that you may consider more appropriate and would like the PRC to consider.

The work of the PRC is designed to make comparisons among existing units on an institution-wide basis while we all attempt to reach measures of excellence in individual units. A process of institutional prioritization will inevitably lead to distinctions even amongst units that are generally good. This is why we call this process “from Good to Great.”

## Scoring by the PEP Review Committee (PRC)

The PRC will score each response with a rating of between 1 and 4. One indicates the lowest rating possible and four indicates that the response merits the highest rating possible. The pattern of ratings will lead to a final score of each of the Criteria (A-D). The PRC will make the determination whether the final score for each of the Criteria will be done by consensus, through votes and whether averages for individual responses per question will be used as the guide for determining the final rating. It is important to remember that the number of points possible for each of the Four G2G Criteria is weighted and will be as follows:

Criterion A	Relevance and fit to the Great UOG	8 points
Criterion B	Sustainability	4 points
Criterion C	Quality	4 points
Criterion D	Demand and Relationships	4 points

The PRC will be formulated from all segments of the UOG community, but it requires a shift in the mindset from “Department Delegate” to “Institutional Trustee.” As Dickeson (2010) reminds us,

*“Prioritization is not about politics as usual. It is an extraordinary undertaking with the future of the institution at stake, and the members of the steering committee are essential stewards in seeing that the process is fair and the results are in the best interest of the institution.”*

## Good to Great Schedule

August 19 - Sept 6, 2013	Meetings with Deans/Directors/Administrative Units
September 9 - November 27, 2013	PEP process by academic/research programs and support units
November 27, 2013	Final deadline to submit PEP Reports to PEP Review Committee
January 21, 2014	Final deadline for PEP Review Committee to submit analysis/review to Faculty Senate/Administrative Council/Staff Council.
January 21 – February 14, 2014	Final deadline for feedback/clarification by individual Programs and Units
March 21, 2014	Final deadline for Faculty Senate/Administrative Council/Staff Council to submit analysis/review to AVP, SVP, and VPAF
March 24 - April 18, 2014	Review of PEP Reports/analysis by AVP,

	VPAF and SVP
April 21 - May 9, 2014	Final Review by President
May 12 - 23, 2014	Dissemination of G2G Plan
Fall 2014	Implementation of G2G Plan

## Good to Great Resources and Key Personnel

### Key staffer:

Terie Leon Guererro - main collector of data and staff person for the PEPRC  
[terielg@uguam.uog.edu](mailto:terielg@uguam.uog.edu) or 735-2976

### Resource people:

Deborah (Dee) Leon Guerrero – Director for Academic Assessment and Institutional Research

- Will provide institutional/program data and statistics based on data elements requirements regarding enrollment, student demographics, etc. (subject to actual data collection). [deborah@uguam.uog.edu](mailto:deborah@uguam.uog.edu) or 735-2585

Gloria Travis – Associate Budget and Processing Administrative Officer

- Can provide unit budget and budget trend data. [gtravis@uguam.uog.edu](mailto:gtravis@uguam.uog.edu) or 735-0219

Zeny Nace – Comptroller

- Can provide unit financial and grant information. [znace@uguam.uog.edu](mailto:znace@uguam.uog.edu) or 735-2942

Larry Gamboa – Chief Human Resources Officer

- Can provide institutional/program employment data and statistics based on program request. [lgamboa@uguam.uog.edu](mailto:lgamboa@uguam.uog.edu) or 735-2350

Peter Barcinas/Gena Rojas – Cooperative Extension Services CYFFN

- Can assist units/programs in understanding and identification of activities related to G2G Data Elements such as engagement, market demand, finances and data/statistics within their areas and other areas of UOG. [pbarcina@uguam.uog.edu](mailto:pbarcina@uguam.uog.edu) or 735-2055 and [grojas@uguam.uog.edu](mailto:grojas@uguam.uog.edu) or 735-2056.

G2G Force Members

- Can answer questions regarding the purpose of the PEP process and in application of the G2G Data Elements to individual units. See table for contact information.



G2G Force Members	Email address
<b>Anita Enriquez</b> , School of Business and Public Administration	<a href="mailto:abe@uguam.uog.edu">abe@uguam.uog.edu</a>
<b>Larry Gamboa</b> , Human Resources Office	<a href="mailto:lgamboa@uguam.uog.edu">lgamboa@uguam.uog.edu</a>
<b>Mohammad Golabi</b> , College of Natural and Applied Sciences	<a href="mailto:mgolabi@uguam.uog.edu">mgolabi@uguam.uog.edu</a>
<b>David Gugin</b> , College of Liberal Arts and Social Sciences	<a href="mailto:dgugin@uguam.uog.edu">dgugin@uguam.uog.edu</a>
<b>Margaret Hattori-Uchima</b> , School of Nursing and Health Sciences	<a href="mailto:muchima@uguam.uog.edu">muchima@uguam.uog.edu</a>
<b>Jimmy Huang</b> , College of Liberal Arts and Social Sciences	<a href="mailto:chuang@uguam.uog.edu">chuang@uguam.uog.edu</a>
<b>Rachael Leon Guerrero</b> , College of Natural and Applied Sciences	<a href="mailto:rachaeltlg@uguam.uog.edu">rachaeltlg@uguam.uog.edu</a>
<b>Shaun Manibusan</b> , Information Technology Resource Center	<a href="mailto:shaunm@uguam.uog.edu">shaunm@uguam.uog.edu</a>
<b>Bob McIntosh</b> , Plant and Facilities	<a href="mailto:rjmtosh@uguam.uog.edu">rjmtosh@uguam.uog.edu</a>
<b>Cathleen Moore-Linn</b> , Professional and International Programs	<a href="mailto:cmoore@uguam.uog.edu">cmoore@uguam.uog.edu</a>
<b>Unaisi Nabobo-Baba</b> , School of Education	<a href="mailto:nabobo_u@uguamlive.uog.edu">nabobo_u@uguamlive.uog.edu</a>
<b>David O'Brien</b> , Administration and Finance	<a href="mailto:dobrien@uguam.uog.edu">dobrien@uguam.uog.edu</a>
<b>David Okada</b> , Office of the President	<a href="mailto:dsokada@uguam.uog.edu">dsokada@uguam.uog.edu</a>
<b>John Peterson</b> , Assistant Vice President, Graduate Studies, Sponsored Programs and Research	<a href="mailto:jpeterson@uguam.uog.edu">jpeterson@uguam.uog.edu</a>
<b>Jesse Quenga</b> , Student Government Association	<a href="mailto:sga.president.quenga@gmail.com">sga.president.quenga@gmail.com</a>
<b>Tim Righetti</b> , College of Natural and Applied Sciences	<a href="mailto:trighetti@uguam.uog.edu">trighetti@uguam.uog.edu</a>
<b>Fred Schumann</b> , School of Business and Public Administration	<a href="mailto:schumann@uguam.uog.edu">schumann@uguam.uog.edu</a>
<b>James Sellmann</b> , College of Liberal Arts and Social Sciences	<a href="mailto:jsellman@uguam.uog.edu">jsellman@uguam.uog.edu</a>
<b>Kyle Smith</b> , College of Liberal Arts and Social Sciences	<a href="mailto:kylesmithuog@gmail.com">kylesmithuog@gmail.com</a>
<b>Gloria Travis</b> , Administration and Finance	<a href="mailto:gtravis@uguam.uog.edu">gtravis@uguam.uog.edu</a>
<b>Louise M. Toves</b> , Office of the President	<a href="mailto:lmtoves@uguam.uog.edu">lmtoves@uguam.uog.edu</a>
<b>Robert A. Underwood</b> , President	<a href="mailto:raunderwood@uguam.uog.edu">raunderwood@uguam.uog.edu</a>



## APPENDIX A

### Assessing Unit Demand and Relationships (Criterion D)

#### **Have a plan to serve your customers**

How does your unit manage customer service? Do you have a plan, and follow it—or do you just "wing it"? To better manage your unit's customer service efforts, here's a plan and guiding questions to assess unit demand and relationships and develop and implement an effective customer service strategy to meet the demand and develop the relationships needed to transition from "Good to Great."

#### **Step 1: Identify your target customers**

Begin by identifying your target customers. Who are they? Are they students? Are they parents? Colleagues from other units or academic programs? What do they need from your unit? How, and at what times or places do they interact with your unit—what are the "points of service delivery"?

- Cluster or segment target customers based on their common behaviors.
- Determine the priorities of your customer "clusters".
- When possible, focus on customers with high current or future value—for example, someone who frequently accesses your services (i.e., students, other units or academic programs, etc.). A comparable example is a frequent flier program—airlines offer a higher level of service (such as early boarding privileges) to their frequent flyers, while still meeting the needs of their other passengers.
- To target the highest level of service to your "frequent flyers", you also need to identify the best ways to serve non-target customers, those to whom it is expensive to provide services, or those who might be better served by other means. This is a necessary part of a customer focus. One example: a fire department could discourage residents from contacting the department to remove cats from trees by charging a \$20 fee for performing the service, and by advertising their busy emergency call load.

#### **Step 2: Determine what your customers want**

- Determine what target customers want (not just what they need right now) by considering these techniques:
  - online customer satisfaction surveys
  - phone or email survey
  - in-person meetings or focus groups
  - user testing
  - channel analytics (web, phone, etc.)
- Determine how target customers prioritize their "wants". Generally, customers want timeliness, convenience, quality products and services, variety or selection, and protection or security. However, each unit must identify what is most important to **its** customers.

- Weigh how important the customer-identified "wants" are to your unit. Are the services something that the organization does, is capable of doing, or wants to pursue?
- Determine how well your unit can meet your customers' "wants" in comparison with competitors (other Universities). You may think you don't have competitors, but more than likely you do, especially if you're producing consumer-related information for the public. Be mindful of who's doing similar work—if competing organizations meet or exceed customer expectations, it changes the customer's frame of reference and increases their expectations.
- Determine which "wants" would most positively impact your unit's bottom line (for example, increased compliance with a regulation, more loyalty and trust, or a desired customer behavioral change), and whether those "wants" should be targeted for improvement.

### **Step 3: Create a culture of customer service**

Create a culture of customer service that makes your unit essential to others and the entire University.

- In the best performing organizations, CEOs ensure that employees at all levels understand their customers and are given the tools to serve them well.
- Unit leadership must communicate the importance of customer service and ensure that all employees, even those without direct customer-facing jobs, understand how their work serves customers.
- Management must regularly interact with customers so they understand evolving customer needs.
- Most importantly, front-line customer service workers must be empowered to actually solve problems on the spot.

### **Step 4: Clearly communicate service standards and expectations**

- Set service standards, such as call wait times, processing times, and satisfaction ratings.
- Clearly define the standards and make them publicly available.
- Clearly defined goals help motivate employees and help manage customer expectations.
- When service standards cannot be met, customers must be informed—a non-negotiable best practice in "Great" organizations.

### **Step 5: Provide consistent service across channels**

- Units should continuously collect comprehensive customer feedback across the whole customer experience—not just via each channel.
- As communication preferences change, we need to adapt our services to interact with our customers, when and how they prefer.
- Consistency of service across channels is critical—a customer who gets an answer on the phone should receive the same answer in-person at a local office, via the website, over email, or via mobile device.

### **Step 6: Establish a vision for customer service excellence or consider customer service in your unit's "Statement of Greatness"**

- Establish your unit's customer-focused vision using all the information in these steps. The vision statement should be simple and may also identify what the company does **not** want to be. Sample vision statements include:
  - "Absolutely, Positively Overnight" by Federal Express
  - L.L. Bean's promise of "Guaranteed. Period."; and
  - Google's "Do no evil"
- Continually reflect on the vision and goals and the way services you're delivering service. Be creative about the ways you create and deliver new services. Be willing to change existing practices to integrate improvements.
- Live up to what you promise by applying both an external and internal strategy that reflects the vision. If your unit doesn't implement both internally and externally oriented strategies consistent with the vision, you'll have good intentions but poor customer service.

### **Step 7: Implement an external strategy**

The external strategy should focus on how your unit's service is designed, marketed, and delivered to target customers. Your unit's strategy should consider efforts to support student recruitment, retention, and success.

- Take into account the costs of providing services and ways to minimize those costs while implementing quality control. Develop the service concept with the frontline worker at its center. Determine the necessary financial, human, and technological resources, as well as how your unit structure and flow can enable frontline workers to deliver excellent customer service.
- Use advertising/educational strategies to set appropriate customer expectations.
- Provide a feedback loop to incorporate customer comments and complaints into the planning process. Customer complaints are an invaluable resource. Without them, organizations can't be successful. Complaints that people bring to your unit are one of the most efficient and least expensive ways to get information about people's expectations of your unit and its products and services. Studies have shown that customer comments and complaints are a more direct means of getting information than conducting research studies of customer expectations, conducting transaction studies, or reviewing customer expectations in similar industries.
- Ensure that the complaint resolution strategy supports the customer-focused vision. Most research shows if customers believe their complaints are welcomed and responded to, they will more likely come back to your organization for a future interaction.

### **Step 8: Focus on recruiting and retaining good employees**

While Step 7 outlined an external strategy, the next three steps cover, in detail, the internal strategy—how your unit's internal processes will support the customer-focused vision.

- The premise is that "capable workers who are well trained and fairly compensated provide better service, need less supervision, and are much more likely to stay on

the job. As a result, their customers are likely to be more satisfied..." (Harvard Business Review, 1994).

- Research also shows that employee turnover and customer satisfaction are directly correlated—typically, the higher the turnover rate, the lower the unit scores in delivering good service.
- In addition, it's commonly noted that employee turnover is an expensive problem, with significant costs needed to hire and train new people.
- Leaders must foster the creation and testing of new ideas and be openly willing to change existing practices to integrate improvements.
- Learn how targeted employees perceive the proposed customer services. An organization cannot change without the participation of its employees.
- Focus on recruiting employees who support the customer service vision. The costs of employing people who do not support the customer service vision are considerable. In addition, develop career paths that allow successful customer-oriented employees to remain on the frontline.

#### **Step 9: Empower employees to resolve customer service problems**

- Empower frontline employees to do what it takes to satisfy the customer. Management must support employee empowerment by clearly defining the boundaries of the empowerment, while remaining flexible within those boundaries. This will encourage creativity. In general, rules should be simple and few—Continental Airlines actually had an employee handbook burning party to signify the change from a procedural environment to one of empowered customer service (Spector, 2001).
- In addition to skills and empowerment, equip frontline personnel with the technology, information, and internal resources to do what it takes to satisfy your customers.

#### **Step 10: Develop good communications and rewards system**

- Ensure that divisions and individuals within your unit communicate. Frontline employees who take customer questions, and other employees who have answers to those questions, need a support network. A customer should never have to tell one employee what another employee already knows.
- Develop cross-functional teams for operations and improving service. Ask the people who are doing the work for suggestions to improve productivity.
- Link employees' compensation to (and offer rewards for) good customer service performance. Rewards can be money, status, praise, acknowledgement, or perks such as trips, time off, or special events.
- Finally, assess and measure employee satisfaction and customer service quality regularly. Use results to continuously improve employee satisfaction and customer service delivery.

Modified from: <http://www.howto.gov/customer-experience/strategic-planning>



Sustainability								
No.	Data Element	Criteria	1	2	3	4	Criteria	Rating
B.1	<b>What is the unit's budget as a percentage of institutional budget? Has it increased/decreased? Why?</b>	The unit does not demonstrate an understanding of its budget and the impact of changes to its budget from year to year. It does not demonstrate an ability to make human and financial resource decisions that are prudent, defensible, and evidence-based.					The unit effectively demonstrates an understanding of its budget and the impact of changes to its budget from year to year. It has demonstrated its ability to make human and financial resource decisions that are prudent, defensible, and evidence-based.	
B.2	<b>What is the unit's total personnel compensation cost?</b>	The unit does not understand its total personnel compensation cost.					The unit fully understands its total personnel compensation cost.	
B.3	<b>How has the unit assessed its personnel and administrative support needs? How does the unit's staffing level compare to industry standards (e.g., staff/total FTE ratio; staff/total square footage of area served; staff/budget ratio: etc.)? How many full- and part-</b>	The unit does not provide specific evidence that it has assessed its total personnel needs and compared its staffing level to industry standards. The unit does not understand its staffing needs and levels.					The unit provides specific evidence that it has assessed its total personnel needs and compared its staffing level to industry standards. The unit demonstrates its understanding of its staffing needs and levels.	
B.4	<b>What are the revenue sources of the unit, including grants, contracts, and external funding sources?</b>	The unit does not provide specific evidence of its revenue sources and does not demonstrate an understanding of its revenue sources.					The unit provides specific evidence of its revenue sources and demonstrates an understanding of its revenue sources.	
B.5	<b>What have you done to improve operational efficiency and effectiveness?</b>	The unit does not demonstrate an understanding of the relationship between resources, their acquisition and efficient use, and the task of improving the unit's operational efficiency and effectiveness.					The unit demonstrates an understanding of the relationship between resources, their acquisition and efficient use, and has improved its operational efficiency and effectiveness.	
<b>Total Rating (Maximum 4 pts)</b>								

Regent Elizabeth Gayle will report on the SASARHD Committee meeting.



BFIA Chairperson Regent Marcos Fong will give his report.

BOR regular meeting of September 19, 2013\_for reporting purposes - Reports from Standing Committees

University of Guam  
Collections Report  
as of  
August 31, 2013

1. SFAP Receivables Data				Aug-31-13
	Principal \$	Interest \$	Paid \$	Balance
Service Credit	14.5M	N/A	4.1M	10.4M
Paying	1.99M	483K	861K	1.62M
Non-Paying	6.59M	1.99M	1.34M	7.24M
				8.86M

3. Combined Total Outstanding				
	Aug '13	July '13	June '13	May '13
YEC	1,495,726	1,555,889	1,561,590	1,555,889
Merit	2,709,912	2,668,877	2,640,798	2,668,877
Nurses	237,946	239,519	157,562	239,519
DocFellow	586,715	587,415	588,615	587,415
Doc Sanchez	145,688	145,913	146,713	145,913
Pro-Tech	1,269,279	1,270,578	1,124,979	1,270,578
Student Loan	2,344,755	2,447,579	2,187,670	2,447,579
ROTC	66,816	69,490	18,564	0
<b>Total</b>	<b>8,856,837</b>	<b>8,985,260</b>	<b>8,426,491</b>	<b>8,915,770</b>

1.a. Monthly Aging Summary (Paying/Non-Paying)

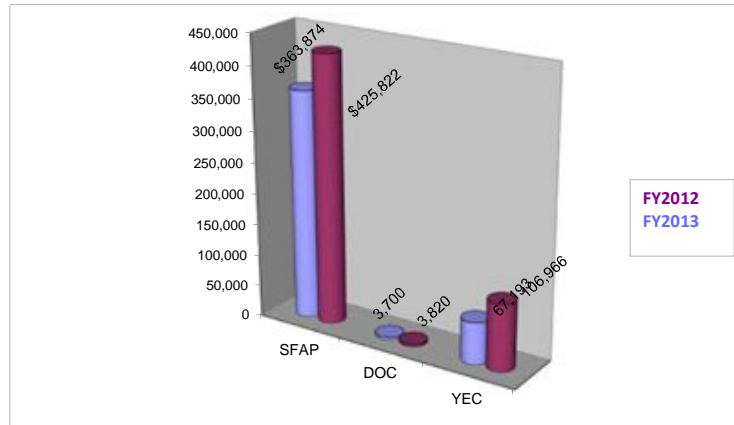
	TOTAL	0-30	31-60	61-90	over 90
YEC	1,495,726	100,001	58,096	14,878	1,322,751
Merit	2,709,912	208,542	123,962	43,265	2,334,143
Nurses	237,946	25,848	7,746	47,381	156,971
DocFellow	586,715	287,485	0	0	299,230
Doc Sanchez	145,688	27,785	7,374	11,372	99,157
Pro-Tech	1,269,279	71,555	0	208,906	988,818
Student Loan	2,344,755	76,943	90,418	158,726	2,018,668
ROTC	66,816	48,252	0	0	18,564
<b>Total</b>	<b>\$8,856,837</b>	<b>\$846,411</b>	<b>\$287,596</b>	<b>\$484,528</b>	<b>\$7,238,302</b>

	ACTUAL COLLECTIONS					Forecast by Bursar	11 mo Actual
	FY2007	FY2008	FY2009	FY2010	FY2011		
SFAP	624,302	491,655	395,951	571,176	614,500	501,629	465,889
DOC	15,371	16,912	11,520	4,111	5,120	4,445	4,111
YEC	167,775	123,065	116,420	117,956	98,762	109,950	80,000
<b>PROJECTION:</b>	<b>\$660,000</b>	<b>\$690,000</b>	<b>\$710,000</b>	<b>\$585,000</b>	<b>625,000</b>	<b>625,000</b>	<b>550,000</b>
							<b>79% Actual</b>
							<b>92% Forecast</b>

Collections Comparison 2012 and 2013 YTD ending August 31, 2013

2. Collections Data

	FY2012	FY2013	YTD 08/12	YTD 08/13
	Month end Aug-12	Month end Aug-13	YTD Aug-12	YTD Aug-13
1 SFAP	\$ 32,900	\$ 17,017	\$ 425,822	\$ 363,874
2 DOC	75	\$ 225	3,820	3,700
3 YEC	10,382	\$ 7,945	106,966	67,193
<b>Total</b>	<b>\$ 43,357</b>	<b>\$ 25,187</b>	<b>\$ 536,608</b>	<b>\$ 434,767</b>



\*\*Shaded area is under review\*\*



UNIVERSITY OF GUAM  
UNIBETSEDĀT GUAHAN

Administration and Finance  
Office of the Comptroller

**FY 2013 Procurement Report  
As of August 2013**

Compliance with BOR Resolution 05-54 (Adopted 12/5/05): At each monthly Board meeting, the Board requires a listing of approved procurement transactions and contracts greater than \$100,000.

	Purchase Order > \$100k		Vendor	Description
	Count	\$ Value		
October 2012	1	\$228,591.77	G4S Security System (Guam)	Security Service renewal and alarm system maintenance for FY2013
November 2012	0	\$0	NA	NA
December 2012	0	\$0	NA	NA
January 2013	0	\$0	NA	NA
February 2013	0	\$0	NA	NA
March 2013	0	\$0	NA	NA
April 2013	0	\$0	NA	NA
May 2013	1	\$298,494.00	Ellucian/Datatel	Renewal of annual support and maintenance of the UOG Colleague Financial System
June 2013	0	NA	NA	NA
July 2013				
August 2013				
September 2013				
	Contracts > \$100k			
October 2012	1	\$177,244.00	James W. Stanford	Review of the Micronesia Bio-security Plan and develop a strategic implementation plan
	2	\$187,477.00	Premier International, inc. dba Carpet Master & The Shutters	Office Graduate Studies UOG BID P41-12 Installation of new storm shutters @ HSS, EC, and Marine Lab
	3	\$144,580.00	U.S. Geological Survey (USGS)	Cooperative Water Program agreements for water resource monitoring (WERI)
	4	\$400,000.00	Guam Cancer Care	Cancer Support Services Guam Cancer Research
November 2012	0	\$0	NA	NA
December 2012	1	\$156,423.00	Department Public Health	CEDDERS Training & technical support for Project Bisita I Families program
	2	\$103,249.00	Social Services	Guam Cancer Registry support of the program
	3	\$405,166.00	Department Public Health Social Services	Graduate Studies, SP&R Military Integration and growth initiative Amend to original contract period extension
	4	\$169,571.40	Office of the Governor	CNAS-CES for School Lunch and breakfast cost study
	5	\$359,990.00	Guam Department of Education Guam Department of Labor	UOG Americorps Success Center In support of the program at UOG
January 2013	0	\$0	NA	NA
February 2013	1	\$109,843.00	Guam Cancer Trust Fund (GCTF)	For youth tobacco cessation UOG Guam Cancer Research Center
March 2013	1	\$177,971.25	SOFTDOCS, INC.	UOG BID P31-12 IT DOCUMENT MANAGEMENT (IMAGING & WORKFLOW APPLICATIONS) for

	2	\$150,000.00	The Edward M. Calvo Cancer Foundation	HRO For support services- Guam Cancer Trust Fund (GCTF)
<b>April 2013</b>	1	\$182,949.66	Guam Department of Agriculture	MOU with CNAS to implement "In Vitro Propagation of Pacific Island Crops of Guam"
	2	\$245,035.00 increase from \$154,896.00	Guam Community College	For Area Health Education Center (AHEC) program Amendment to original contract for the increase
	3	\$227,483.00 increase from \$154,896.00	College of Marshall Islands	For Area Health Education Center (AHEC) program Amendment to original contract for the increase
	4	\$241,296.00 Increase from \$154,896.00	College of Micronesia FSM	For Area Health Education Center (AHEC) program Amendment to original contract for the increase
<b>May 2013</b>	0	\$0	NA	NA
<b>June 2013</b>	0	\$0	NA	NA
<b>July 2013</b>	1	\$175,195.12	Gerald Crawford	Consultant for SBDC an increase of \$20,700 from the original contract of \$154,495.12 for small business based assistance
<b>August 2013</b>	1	\$418,500.00	GR Construction LLC	UOG BID P06-13 Complete roof repairs & roof coating system replacement for UOG Field House
	2	\$101,000.00	Hawai'i-Pacific Islands Cooperattive Ecosystem National Park Service	Collaboratively undertake a study entitled "Coral recruitment and early survival along a gradient of anthropogenic impacts on the southwest coast of Guam Phase 2
<b>September 2013</b>				



UNIVERSITY OF GUAM  
UNIBETSEDAT GUÅHAN  
BOARD OF REGENTS

RESOLUTION NO. 13-19

**RELATIVE TO APPROVING THE WRITE-OFF OF CERTAIN LONG OUTSTANDING  
ACCOUNTS RECEIVABLE**

**WHEREAS**, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges (WASC) serving the post-secondary needs of the people of Guam and the region; and

**WHEREAS**, the governance and well-being of UOG is vested in the Board of Regents (BOR); and

**WHEREAS**, in the normal course of business, campuses are involved in transactions that result in monies being owed to UOG for which they are unable to collect, and as necessary, the Comptroller's Office-Bursar Section submits summaries of debts considered for write-off to prevent overstating of assets; and

**WHEREAS**, currently, UOG's receivables include long outstanding accounts, which have remained in UOG's books for many years; and

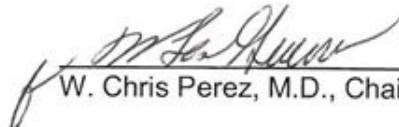
**WHEREAS**, UOG, through the Comptroller's Office-Bursar Section, exerts diligent collection efforts in pursuit of long outstanding receivables and although ongoing collection efforts are abandoned on these accounts, UOG reserves the right and duty to collect should the opportunity arise; and

**WHEREAS**, it is in accordance with UOG's procedure and good business practices to write-off accounts receivable after all reasonable collection procedures have been exhausted and there is not a reasonable expectation that the accounts will be collected; and

**NOW, THEREFORE BE IT RESOLVED**, that the BOR approves writing off UOG receivables after all reasonable collection procedures have been exhausted and there is not a reasonable expectation that the accounts will be collected.

**BE IT FURTHER RESOLVED**, that the BOR hereby authorizes an annual write-off for accounting purposes within these guidelines.

Adopted this 19<sup>th</sup> day of September, 2013.

  
W. Chris Perez, M.D., Chairman

ATTESTED:



Dr. Robert A. Underwood, Executive Secretary



UNIVERSITY OF GUAM  
UNIBETSEDAT GUAHAN  
BOARD OF REGENTS

RESOLUTION NO. 13-20

**RELATIVE TO APPROVING THE PROPOSED FY2014 INSURANCE PROGRAM**

**WHEREAS**, the University of Guam (University) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges (WASC) serving the post-secondary needs of the people of Guam and the region; and

**WHEREAS**, the governance and well-being of the University is vested in the Board of Regents (BOR); and

**WHEREAS**, the University's insurance program provides liability coverage and protection for the University's assets, which are vital for student learning; and

**WHEREAS**, the University and its risk manager have prepared insurance specifications for the following policies: primary liability, educators legal liability, limited professional liability, umbrella liability, property, property terrorism, comprehensive crime, automobile, and automobile excess liability; and

**WHEREAS**, the University through its risk manager and insurance broker has prepared and disseminated the FY2014 Insurance Specifications and received offers on the specified coverage to 11 insurance carriers/agents, representing all the major carriers on Guam; and

**WHEREAS**, the University has partnered with United Educators Insurance, as one of approximately 80 institutions out of its 1,150 members, in a Risk Reduction Program for Contract Management, which offers the University an opportunity to automatically renew its annual liability policies under stable terms, conditions and premiums over a three-year period; and

**WHEREAS**, the University's evaluation committee has evaluated the offers, and with its risk manager and insurance broker, recommends the best qualified offeror for each policy within the FY2014 insurance program; and

**WHEREAS**, the President, Physical Facilities Committee and Budget, Finance, Investment and Audit Committee have reviewed and recommend that the Board approve the proposed FY2014 insurance program.

**NOW, THEREFORE, BE IT RESOLVED**, that the BOR hereby approves the Administration and Committees' recommendations for the FY2014 insurance program, as attached, and

**BE IT FURTHER RESOLVED**, that the Vice President for Administration and Finance is authorized to instruct the insurance broker to place the recommended insurance policies effective 1 October 2013, so as to provide continuous insurance coverage for the University of Guam within the terms offered.

Adopted this 19<sup>th</sup> day of September, 2013.

ATTESTED:

Handwritten signature of Robert A. Underwood in blue ink.

Robert A. Underwood, Ed.D., Executive Secretary

Handwritten signature of W. Chris Perez in blue ink.  
\_\_\_\_\_  
W. Chris Perez, M.D., Chairman



*FY2014 Insurance Program*

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several competitive and favorable aspects of the coverage that remain in effect: First Net's mold coverage of \$550k; the reduction in the property windstorm, typhoon, tidal wave and earthquake deductible at 2% of claim minimum \$100k rather than minimum \$150k; and the reduction in the property terrorism deductible from \$250k to \$100k. The Committee recommends acceptance of the Moylan's First Net offer.

Automobile & Excess Auto Liability Insurance

Two offers were received from American Standard (believed to be general agent for Pacific Indemnity) and Moylan's Dongbu. Moylan's Dongbu quote was the only responsive and responsible bid offer and the lowest at \$15,266. This is a decrease of \$3.478 (~19%) from last year. Besides competitive factors, the premium decreased due to the decrease in the fleet from 82 to 81 vehicles.

Prices were offered for liability coverage only and for liability insurance plus physical damage coverage. The Committee agreed not to purchase collision damage coverage in view of the University's favorable loss history (note: in FY13 collision damage coverage would have added \$37k to the premium).

The Committee recommends acceptance of the Moylan's Dongbu offer.

Crime Insurance

Moylan's Dongbu will provide crime coverage for the third, as the University purchased a three-year policy at \$7,727 in FY12. The Committee recommends continuance of the Moylan's Dongbu coverage.

Liability Insurance

Only one offer was received from United Educators. UE's renewal quotes total \$258,797 for four liability policies: primary general liability, umbrella liability, educators' legal liability, and limited professional liability. This is an decrease of \$737 (0.3%) compared to last year. This is good news as the limited professional liability premium generally increases with the University's enrollment, which has increased. For the other three coverages, the University's partnership with UE to establish a Risk Reduction Program for Contract Management continues. This partnership enables the University to automatically renew its annual liability policies under stable terms, conditions and premiums over a three-year period. FY14 is the third year. The Committee recommends that the UE offer be accepted.



**UNIVERSITY OF GUAM  
FY2014 INSURANCE  
MARKETS & UNDERWRITERS**

GENERAL AGENT	CARRIER	A.M. BEST RATING	PROPERTY	AUTOMOBILE	EXCESS AUTO	CRIME	PRIMARY LIABILITY	EDUCATORS LEGAL LIABILITY	UMBRELLA LIABILITY	LICENSED PROFESSIONAL LIABILITY
AMERICAN STANDARD	See Note	See Note	\$400,560	\$20,079	Included w/Auto Quote	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE
AON	Century	B++	Carrier did not respond to RFP and does not meet company rating.							
CALVOS	Charis	A	\$439,057	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE
CASSIDYS	Pacific Indemnity	A-	Carrier did not respond to RFP.							
GREAT NATIONAL INSURANCE	Chung Kuo	Not Rated	Carrier declined to quote due to limits, terms & conditions							
GUAHAN INSURANCE	Nippon Koa	A+	Carrier indicated that they will not be participating.							
MOYLAN'S	First Net (100% Reins w/Lloyds)	A	\$385,038	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE
MOYLAN'S	Dongbu	A	NO QUOTE	1-Year Term \$15,266 3-Year Term \$13,739	Included w/Auto Quote	\$7,727	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE
NANBO	Tokio Marine	A+	Carrier declined to quote as they are not able to meet conditions of the specifications.							
UNITED EDUCATORS	UE	A+	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$87,874	\$63,907	\$81,923
TAKAGI	Aioi	A+	Carrier did not respond to RFP.							

**Notes:**  
 08/20/2013 - Received FY14 Insurance Specifications from UOG. 08/21/2013 - Sent FY14 Insurance Specifications out to all Carriers. 8/24/2013 - Sent an email to all Carrier providing them with Loss History and reminded them of the submission deadline. 09/02/2013 - Phoned all Carriers to remind them of the submission date and time. 09/04/2013 - Phoned all Carriers to encouraged them to submit any line of coverages. 09/05/2013 - Reminded all Carriers of deadline and encouraged all to submit on the 6th of September. 9/06/2013 - Called all Carriers in the morning to remind them that the deadline to Submit was today. 6pm Submission deadline.

\* American Standard - Did not indicate the carrier in their submission, however they provided an email two days before deadline indicating they were General Agents for Pacific Indemnity, which is an A- Rating.

## UNIVERSITY OF GUAM FY2014 INSURANCE QUOTES

POLICY DESCRIPTION	CURRENT CARRIERS	COVERAGE LIMITS	FY2013 PREMIUM 2012-2013	CALVO AIG ( A )	MOYLAN'S FIRST NET (100% Reins w/Lloyds)	MOYLAN'S DONGBU ( A )	AMERICAN STANDARD See Note	UNITED EDUCATORS ( A )	
<b>PROPERTY INSURANCE</b>	Moylan's First Net		\$395,550	\$439,057	\$385,038	NO QUOTE	\$400,560	NO QUOTE	
<i>Banket All Risks of Physical Loss or Damage Incl Windstm, Tidal Wave, EQ &amp; Fld</i>									
FY2013 Property Values: \$234,024,110									
FY2014 Property Values: \$234,024,110									
Limit of Liability		\$40,000,000			\$40,000,000		\$40,000,000		
Terrorism		\$10,000,000			\$10,000,000		\$10,000,000		
<b>Sublimit:</b>									
Typhoon, Earthquake, Flood & Tidal Wave		\$4Mill occurrence			\$4Mill occurrence		\$4Mill occurrence		
<b>Self Insured Retention:</b>									
\$25,000 any one occurrence, EXCEPT Windstorm, Typhoon, Flood, TW & EQ which is 2% of claim, min. \$100,000									
<b>AUTOMOBILE INSURANCE</b>	Cassidy's Insurance	\$1,000,000	\$18,744	NO QUOTE	NO QUOTE	1-Year Term (Third Party Liability) \$15,266	\$20,079	NO QUOTE	
FY2013: Third Party Liability						3-Year Term (Third Party Liability) \$13,739			
Medical Payments (each person)		\$1,000							
FY2013: 82 Vehicles									
FY2014: 81 Vehicles									
<b>EXCESS AUTOMOBILE</b>	Moylan's Dongbu	\$1,000,000	Incl. in Auto Premium	NO QUOTE	NO QUOTE	Included Above	Included Above	NO QUOTE	
<b>COMPREHENSIVE CRIME INSURANCE</b>	Moylan's Dongbu	\$500,000	\$7,727	NO QUOTE	NO QUOTE	\$7,727 (3rd Yr. Billing)	NO QUOTE	NO QUOTE	
A. Employee Dishonesty Cover		\$200,000							
B. Loss Inside the Premises		\$200,000							
C. Loss Outside the Premises		\$200,000							
D. Money Orders & Counterfeit Paper Currency		\$200,000							
E. Depositors Forgery		\$200,000							
F. Check Forgery		\$200,000							
G. Third Party Computer Fraud		\$200,000							
H. Costs		\$200,000							
Deductible - \$20,000 each and every claim									
<b>Subtotal for Local Lines:</b>								\$422,021	

**UNIVERSITY OF GUAM  
FY2014 INSURANCE QUOTES**

POLICY DESCRIPTION	CURRENT CARRIERS	COVERAGE LIMITS	FY2013 PREMIUM 2012-2013	CALVO AIG ( A )	MOYLAN'S FIRST NET (100% Retins w/Lloyds)	MOYLAN'S DONGBU ( A )	AMERICAN STANDARD See Note	UNITED EDUCATORS ( A )
<b>PRIMARY GENERAL LIABILITY</b>  Deductible: \$10,000	UE	\$1,000,000 Each Occ \$3,000,000 Aggregate	\$87,874	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$ 87,874.00
<b>UMBRELLA LIABILITY INSURANCE</b>  Self-Insured Retention: \$100,000 Sexual Molestation, \$25,000 Others	UE	\$25,000,000 Aggregate	\$81,923	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$ 81,923.16
<b>EDUCATORS LEGAL LIABILITY</b>  Self-Insured Retention: \$1,000 Directors, Trustees, Officers per claim \$250,000 Wrongful Employment Practices per claim \$100,000 Each Other Claim	UE	\$5,000,000 Claim/Aggr	\$63,907	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$ 63,907.40
<b>LIMITED PROFESSIONAL LIABILITY</b>  Self-Insured Retention: \$0 Each Individual Non-Indemnifiable per claim \$10,000 All Other Claims	UE	\$1,000,000 Each Claim \$3,000,000 Aggregate	\$25,830	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$ 25,092.32
<b>GRAND TOTAL ANNUAL PREMIUM :</b>			<b>\$681,556</b>					

**Note:**

American Standard Insurance Underwriters, Inc. - Did not submit policy specimen, as required, and did not indicate the carrier in their submission. However, two days before deadline they emailed AMI Insurance informing us that they are a General Agent for Pacific Indemnity, which is an A-Rating.  
 Calvo's Insurance Underwriters, Inc. - Did not submit policy specimen, which was required in the Specifications.  
 United Educators - UOG to be receiving dividend payment of \$11,900.43.



UNIVERSITY OF GUAM  
UNIBETSEDAT GUAHAN

Administration and Finance  
Office of the Vice President

**Memorandum**

14 September 2013

TO: President Approved/Not Approved: \_\_\_\_\_

From: Vice President for Finance and Administration David O'Brien  
Risk Manager Michael Moody (IRIS Ltd.)  
Comptroller Zeny Nace

Re: FY2014 Insurance Program Recommendations

Purpose

This memo provides the Risk Management Committee's recommendations for FY14 insurance coverage.

Overview

On September 10, 2013, the Risk Management Committee (Committee) reviewed the quotes received from local insurance carriers for the renewal of the University's insurance program for FY 2014. The Committee was comprised of Vice President David O'Brien, Comptroller Zeny Nace, and Risk Manager Mike Moody. Also present were Legal Counsel Victorina Renacia, Extension Associate Russell Bala-an from the Comptroller's Office, and AM Insurance (Broker) representatives AnnMarie Muna and Gen Calvo. We reviewed the competitive bidding process, insurance specifications as provided to AMI, market and underwriter information, and the underwriter's quotes as submitted.

AMI distributed the FY14 Insurance Specifications, prepared by Risk Manager Mike Moody and the University, and sought quotes for property insurance, automobile insurance, and liability insurance from 11 carriers: American Standard, Aon Century, Calvo's Chartis, Cassidy's Pacific Indemnity, Great National Chung-Kuo, Guahan Insurance Nippon Koa, Moylan's Dongbu, Moylan's First Net, Nanbo Tokio Marine and Takagi Aioi, , and United Educators (UE). These represent all of the major carriers writing insurance in Guam. Quotes have been submitted by American Standard, Calvos Chartis, Moylan's First Net, Moylan's Dongbu and UE. (Note: the committee reviewed the estimated UE quotes on September 10 and received UE's final quotes, including a lower quote for Limited Professional Liability on September 14). Details about the Broker's approach to the market, process and submitted quotes is found in the attached *FY2014 Insurance Markets and Underwriters* and *FY2014 Insurance Quotes*, both of which are prepared by the Broker and reviewed by the Committee.

Based on the quotes received and the Committee's recommendations on the coverages, the University's FY2014 insurance program for property insurance, automobile insurance, crime insurance (renewal), and liability insurance will cost \$666,828. This is a decrease of \$14,728 (~2%) from last year's premium of \$681,556. Details follow.

Property Insurance

Quotes were submitted by American Standard (believed to be general agent for Pacific Indemnity), Calvos Chartis and Moylan's First Net. The only responsive and responsible offer received was from Moylan's First Net, our current carrier. Theirs was also the lowest cost. That offer continued current coverage with a premium of \$385,038. This is a decrease of \$10,512 (~3%) compared to last year and at the same coverage and terms. The Committee notes several competitive and favorable aspects of the coverage that remain in effect: First Net's mold coverage of \$550k;

*FY2014 Insurance Program*

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the reduction in the property windstorm, typhoon, tidal wave and earthquake deductible at 2% of claim minimum \$100k rather than minimum \$150k; and the reduction in the property terrorism deductible from \$250k to \$100k. The Committee recommends acceptance of the Moylan's First Net offer.

Automobile & Excess Auto Liability Insurance

Two offers were received from American Standard (believed to be general agent for Pacific Indemnity) and Moylan's Dongbu. Moylan's Dongbu quote was the only responsive and responsible bid offer and the lowest at \$15,266. This is a decrease of \$3,478 (~19%) from last year. Besides competitive factors, the premium decreased due to the decrease in the fleet from 82 to 81 vehicles.

Prices were offered for liability coverage only and for liability insurance plus physical damage coverage. The Committee agreed not to purchase collision damage coverage in view of the University's favorable loss history (note: in FY13 collision damage coverage would have added \$37k to the premium).

The Committee recommends acceptance of the Moylan's Dongbu offer.

Crime Insurance

Moylan's Dongbu will provide crime coverage for the third, as the University purchased a three-year policy at \$7,727 in FY12. The Committee recommends continuance of the Moylan's Dongbu coverage.

Liability Insurance

Only one offer was received from United Educators. UE's renewal quotes total \$258,797 for four liability policies: primary general liability, umbrella liability, educators' legal liability, and limited professional liability. This is an decrease of \$737 (0.3%) compared to last year. This is good news as the limited professional liability premium generally increases with the University's enrollment, which has increased. For the other three coverages, the University's partnership with UE to establish a Risk Reduction Program for Contract Management continues. This partnership enables the University to automatically renew its annual liability policies under stable terms, conditions and premiums over a three-year period. FY14 is the third year. The Committee recommends that the UE offer be accepted.

<p style="text-align: center;"><b>UNIVERSITY OF GUAM</b>  <b>FY2014 INSURANCE</b>                      MARKETS &amp; UNDERWRITERS</p>										
GENERAL AGENT	CARRIER	A.M. BEST RATING	PROPERTY	AUTOMOBILE	EXCESS AUTO	CRIME	PRIMARY LIABILITY	EDUCATORS LEGAL LIABILITY	UMBRELLA LIABILITY	LICENSED PROFESSIONAL LIABILITY
AMERICAN STANDARD	See Note	See Note	\$400,560	\$20,079	Included w/Auto Quote	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE
AON	Century	B++	Carrier did not respond to RFP and does not meet company rating.							
CALVOS	Chartis	A	\$439,057	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE
CASSIDYS	Pacific Indemnity	A-	Carrier did not respond to RFP.							
GREAT NATIONAL INSURANCE	Chung Kuo	Not Rated	Carrier declined to quote due to limits, terms & conditions							
GUAHAN INSURANCE	Nippon Koa	A+	Carrier indicated that they will not be participating.							
MOYLAN'S	First Net (100% Reins w/Lloyds)	A	\$385,038	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE
MOYLAN'S	Dongbu	A	NO QUOTE	1-Year Term \$15,266 3-Year Term \$13,739	Included w/Auto Quote	\$7,727	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE
NANBO	Tokio Marine	A+	Carrier declined to quote as they are not able to meet conditions of the specifications.							
UNITED EDUCATORS	UE	A+	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$87,874	\$63,907	\$81,923	\$28,413
TAKAGI	Aioi	A+	Carrier did not respond to RFP.							

**Notes:**

08/20/2013 - Received FY14 Insurance Specifications from UOG. 08/21/2013 - Sent FY14 Insurance Specifications out to all Carriers. 8/24/2013 - Sent an email to all Carrier providing them with Loss History and reminded them of the submission deadline. 09/02/2013 - Phoned all Carriers to remind them of the submission date and time. 09/04/2013 - Phoned all Carriers to encouraged them to submit any line of coverages. 09/05/2013 - Reminded all Carriers of deadline and encouraged all to submit on the 6th of September. 9/06/2013 - Called all Carriers in the morning to remind them that the deadline to Submit was today. 6pm Submission deadline.

\* American Standard - Did not indicate the carrier in their submission, however they provided an email two days before deadline indicating they were General Agents for Pacific Indemnity, which is an A- Rating.

## UNIVERSITY OF GUAM FY2014 INSURANCE QUOTES

POLICY DESCRIPTION	CURRENT CARRIERS	COVERAGE LIMITS	FY2013 PREMIUM 2012-2013	CALVO AIG ( A )	MOYLAN'S FIRST NET (100% Reins w/Lloyds)	MOYLAN'S DONGBU ( A )	AMERICAN STANDARD See Note	UNITED EDUCATORS ( A )
<b>PROPERTY INSURANCE</b>  <i>Blanket All Risks of Physical Loss or Damage Incl Wndstm, Tidal Wave, EQ &amp; Fld:</i> FY2013 Property Values: \$234,024,110 FY2014 Property Values: \$234,024,110 Limit of Liability Terrorism <u>Sublimit:</u> Typhoon, Earthquake, Flood & Tidal Wave <u>Self Insured Retention:</u> \$25,000 any one occurrence, EXCEPT Windstorm, Typhoon, Flood, TW & EQ which is 2% of claim, min. \$100,000	Moylan's First Net	\$40,000,000 \$10,000,000  \$4Mil occurrence	\$395,550	\$439,057	\$385,038  \$40,000,000 \$10,000,000  \$4Mil occurrence	NO QUOTE	\$400,560  \$40,000,000 \$10,000,000  \$4Mil occurrence	NO QUOTE
<b>AUTOMOBILE INSURANCE</b>  FY2013: Third Party Liability Medical Payments (each person) FY2013: 82 Vehicles FY2014: 81 Vehicles	Cassidy's Insurance	\$1,000,000  \$1,000	\$18,744	NO QUOTE	NO QUOTE	<a href="#">1-Year Term</a> (Third Party Liability) \$15,266 <a href="#">3-Year Term</a> (Third Party Liability) \$13,739	\$20,079	NO QUOTE
<b>EXCESS AUTOMOBILE</b>	Moylan's Dongbu	\$1,000,000	Incl. in Auto Premium	NO QUOTE	NO QUOTE	Included Above	Included Above	NO QUOTE
<b>COMPREHENSIVE CRIME INSURANCE</b> A. Employee Dishonesty Cover B. Loss Inside the Premises C. Loss Outside the Premises D. Money Orders & Counterfeit Paper Currency E. Depositors Forgery F. Check Forgery G. Third Party Computer Fraud H. Costs Deductible - \$20,000 each and every claim	Moylans Dongbu	\$500,000 \$200,000 \$200,000 \$200,000 \$200,000 \$200,000 \$200,000 \$200,000	\$7,727	NO QUOTE	NO QUOTE	\$7,727 (3rd Yr. Billing)	NO QUOTE	NO QUOTE
<b>Subtotal for Local Lines:</b>			<b>\$422,021</b>					

## UNIVERSITY OF GUAM FY2014 INSURANCE QUOTES

POLICY DESCRIPTION	CURRENT CARRIERS	COVERAGE LIMITS	FY2013 PREMIUM 2012-2013	CALVO AIG ( A )	MOYLAN'S FIRST NET (100% Reins w/Lloyds)	MOYLAN'S DONGBU ( A )	AMERICAN STANDARD See Note	UNITED EDUCATORS ( A )
<b>PRIMARY GENERAL LIABILITY</b> Deductible: \$10,000	UE	\$1,000,000 Each Occ \$3,000,000 Aggregate	\$87,874	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$ 87,874.00   -
<b>UMBRELLA LIABILITY INSURANCE</b> <u>Self-Insured Retention:</u> \$100,000 Sexual Molestation; \$25,000 Others	UE	\$25,000,000 Aggregate	\$81,923	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$ 81,923.16
<b>EDUCATORS LEGAL LIABILITY</b> <u>Self-Insured Retention:</u> \$1,000 Directors, Trustees, Officers per claim \$250,000 Wrongful Employment Practices per claim \$100,000 Each Other Claim	UE	\$5,000,000 Claim/Aggr	\$63,907	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$ 63,907.40
<b>LIMITED PROFESSIONAL LIABILITY</b> <u>Self-Insured Retention:</u> \$0 Each Individual Non-Indemnifiable per claim \$10,000 All Other Claims	UE	\$1,000,000 Each Claim \$3,000,000 Aggregate	\$25,830	NO QUOTE	NO QUOTE	NO QUOTE	NO QUOTE	\$ 25,092.32
<b>GRAND TOTAL ANNUAL PREMIUM :</b>			<b>\$681,556</b>					

**Note:**

**American Standard Insurance Underwriters, Inc.** - Did **not** submit policy specimen, as required, and did not indicate the carrier in their submission. However, two days before deadline they emailed AM Insurance informing us that they are a General Agent for Pacific Indemnity, which is an A- Rating.

**Calvo's Insurance Underwriters, Inc.** - Did **not** submit policy specimen, which was required in the Specifications.

**United Educators** - UOG to be receiving dividend payment of \$11,900.43.





**UNIVERSITY OF GUAM  
UNIBETSEDÅT GUAHAN  
BOARD OF REGENTS**

**RESOLUTION NO. 13-21**

**RELATIVE TO CONTINUATION OF FY2013 GENERAL OPERATIONS, SPECIAL  
APPROPRIATIONS, STUDENT FINANCIAL ASSISTANCE PROGRAM  
AND NON-APPROPRIATED FUNDS BUDGETS INTO FY2014**

**WHEREAS**, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges (WASC) serving the post-secondary needs of the people of Guam and the region; and

**WHEREAS**, the Board of Regents (BOR) of UOG is responsible for approving and adopting budgets and plans that together serve as the primary controls to ensure the effectiveness and financial well-being of the University; and

**WHEREAS**, the general operations budget, special appropriations budgets, and the non-appropriated funds (NAF) budgets enable the expenditure of resources for the academic and support expenses of the University and the Student Financial Assistance Program (SFAP) budget enables the student financial aid programs; and

**WHEREAS**, the FY2014 budget law, P.L. 32-068, was passed into law on September 11, 2013, identifying the FY2014 level of appropriations and other monies for UOG's general operations, special appropriations, and SFAP, which is different than previously approved by the BOR; and

**WHEREAS**, the University's Rules, Regulations and Procedures Manual Article II.G.1 (i) requires that after a budget bill becomes law, if the appropriated sum is less than requested, the President shall submit a proposal to the BOR on the reapportionment of UOG's allocation, which is scheduled to be submitted at the next scheduled BOR meeting; and

**WHEREAS**, the continuation of FY2013 budgets into FY2014 will meet the academic, fiscal and operational requirements of the University until the FY2014 budgets can be reapportioned; and

**WHEREAS**, the President and BOR's Budget, Finance, Investments and Audit (BFIA) Committee have reviewed the administration's proposal in this matter and recommend it to the BOR.


**NOW, THEREFORE BE IT RESOLVED**, that UOG's FY2013 general operations, special appropriations, SFAP and NAF budgets will be rolled over as the continuing budgets for budgetary, accounting and certification purposes until the BOR approves the respective reapportioned FY2014 budgets.

**BE IT FURTHER RESOLVED**, that the President, Senior Vice President for Academic and Student Affairs, and Vice President for Administration and Finance are authorized to

prepare guidelines, procedures and funding for the administration of said continuation budgets, as needed.

**BE IT FURTHER RESOLVED**, that the BOR hereby authorizes the President, in consultation with its BFIA Committee, to reallocate funding as necessary to the highest priority areas and to realign and reduce UOG operations and personnel costs as required to meet cash shortfalls, reapportion and balance the FY2014 budgets.

**Adopted this 19<sup>th</sup> day of September, 2013.**

  
f \_\_\_\_\_  
W. Chris Perez, M.D., Chairman

**ATTESTED:**

  
\_\_\_\_\_  
Dr. Robert A. Underwood, Executive Secretary

**BOR regular meeting of September 19, 2013\_for reporting purposes - Reports from Standing Committees**

**A. General Operations Budget**

	PL32-068		
	Bill 1(4-S)		
	FY2013	FY2014	FY2014
	PL31-233	Budget Request	Budget Reapportion
			Leg - Request Variance
<b>SUMMARY OF GENERAL OPERATIONS BUDGET</b>			
Revenues	40,737,222	41,320,248	42,837,456
Expenses	(40,737,222)	(41,320,248)	(41,629,062)
Balance	\$ 0	\$ 0	\$ 1,208,395
<b>Revenues</b>			
Appropriation Request -General Fund	25,688,064	26,126,849	25,616,713
Appropriation Request -TEFF	1,000,000	1,000,000	1,000,000
Appropriation - Tuition PL31-276		1,470,000	1,470,000
Tuition Fund Projected Net Revenue	12,241,158	10,905,399	12,932,743
Federal Matching Funds	1,508,000	1,508,000	1,508,000
PIP Net Revenue (transfer)	300,000	310,000	310,000
<b>Total Revenues</b>	<b>40,737,222</b>	<b>41,320,248</b>	<b>42,837,456</b>
			<b>1,517,208</b>
<b>Expenses</b>			
Personnel Expenses			
Existing Personnel - filled	(31,401,313)	(31,325,963)	(30,397,388)
Savings from the transitioning of 12mo. faculty	100,000	100,000	100,000
Initiatives for Institutional Effectiveness & Efficiency		1,023,386	1,023,386
Vacant Positions	(391,158)	(738,594)	(1,460,532)
Increments - GPP (Hay Study) -est. \$777K			
Salary Increments -2014	-	(225,000)	(225,000)
Other Personnel Cost	(594,500)	(636,000)	(636,000)
Subtotal Personnel Expenses	(32,231,577)	(31,802,171)	(31,595,534)
			206,636
Operating (Non-personnel) Expenses			
Contracts	(3,311,252)	(3,550,533)	(3,634,533)
Supplies	(461,531)	(428,382)	(428,382)
Equipment	(75,392)	(86,992)	(86,992)
Accreditation	(35,000)	(35,000)	(35,000)
Miscellaneous	(31,920)	(26,620)	(26,620)
Utilities	(3,805,550)	(4,005,550)	(4,437,000)
Library & IT Priorities - Capital	(275,000)	(275,000)	(275,000)
Capital Outlay for repair and maintenance	(510,000)	(610,000)	(610,000)
Subtotal Operating (Non-personnel) Expenses	(8,505,645)	(9,018,077)	(9,533,527)
			(515,450)
Good to Great Initiative		(500,000)	(500,000)
<b>Total General Operations Expenses</b>	<b>(40,737,222)</b>	<b>(41,320,248)</b>	<b>(41,629,062)</b>
			<b>(308,814)</b>
<b>General Operations Balance</b>	<b>0</b>	<b>0</b>	<b>1,208,395</b>
			<b>1,208,394</b>
<b>B. Special Appropriations (Continuing)</b>			
PL31-229 Student Svs Ctr & Engineering Science Annex		1,000,000	250,000
WERI - Guam Hydrologic Survey (GHS)	182,694	182,694	182,694
WERI - Guam Comprehensive Water Monitoring Prog (CWMP)	155,626	155,626	155,626
GADTC Hatchery	125,254	125,254	125,254
<b>Total Special Appropriations</b>	<b>\$ 463,574</b>	<b>\$ 1,463,574</b>	<b>\$ 713,574</b>
			<b>\$ (750,000)</b>

Debt service remittance exemption for FY14  
Fall budget est. are HC:3758, CrH:44,341  
Aug 25 figures are HC:3748, CrH:44,223

-1000 Positions move to vacant list  
-218 Savings from decreased retirement rate (budget 31.02% vs. 30.03%)  
300 Increments processed, more pending  
-918

Count: 5-faculty, 9 staff, 1 administrator  
Count: 11-faculty, 16-staff, 2-administrator

Includes funding for merit bonus

\$60k-Contractual service for OLL coordinator from personnel(Millhoff-50%)  
\$24k PeopleAdmin maintenance

+GPA-\$225k, GWA-\$58k, GTA-\$148k (KWH usage remained constant, increase due to rate)  
10% conservation goal not reached

PL 32-063 - \$1M appropriation for SSC & EA

**BOR regular meeting of September 19, 2013\_for reporting purposes - Reports from Standing Committees**

Comparison of Fiscal Year Budgets

Fund Source		FY14 Request	FY14 Bill # 1(4-S) PL 32-068 (9/11/13)
<b>General Fund Revenues</b>			
Taxes - Income Tax			189,869,482
Withholding Taxes, Interest and Penalties			222,255,762
Provision for Tax Refund			(120,000,000)
Gross Receipts Tax			232,826,385
CoreTech Tax Credit			
GMHA Pharmaceutical Fund			(9,313,055)
Other Taxes			2,632,132
Federal Income Tax Collection (Section 30 Funds)			63,287,000
Immigration Fees and Indirect Cost			1,849,872
Depart Charges/Fees/Use of Money & Property & other Taxes			7,680,237
Section 2718 Fund			
2% General Fund Reserve			
<b>Total General Fund Revenues Available for Appropriation</b>			<b>591,087,815</b>
<b>University of Guam</b>			
Appropriation for General Operations	General Fund	26,126,849	25,616,712
Appropriation for General Operations	TEFF	1,000,000	1,000,000
Appropriation for General Operations	GBOA		
Appropriation in lieu of tuition rate inc PL31-276	Bond Refi	1,470,000	1,470,000
Line item appro. for Utilities			
Line item appro. for Medical/Dental/Life Insurance			
Debt service remittance exemption for FY14 (pg24)			2,027,344
<b>Total General Operations</b>		<b>28,596,849</b>	<b>30,114,056</b>
<b>Special Appropriations</b>			
YTC			
Aquaculture Development and Training Center	General Fund	125,254	125,254
WERI's GHS	General Fund	182,694	182,694
WERI Water Resource Monitoring Program	General Fund	182,694	155,626
Northern-Southern Soil & Water Conservation Prog	General Fund		149,384
Rhinoceros Beetle Program	General Fund		
Guam Cancer Trust Fund	Healthy Futures		2,051,204
Guam Cancer Registry	Healthy Futures		
Guam Farmers' Cooperative	General Fund		
UOG Capital Improvements Fund (LG Re-fi)	Highway Fund		250,000
Capital Improvement Fund	Highway Fund		500,000
General Fund and Special Appropriations		<b>29,087,491</b>	<b>33,528,218</b>
SFAP	General Fund	3,599,358	3,599,358
UOG Higher Education Endowment Fund			
<b>Agency Funds</b>			
KPRG (Public Radio)	General Fund		89,467
Guampedia Foundation	Tourist Attraction		140,000
Total Appropriations for UOG		<b>32,686,849</b>	<b>37,357,043</b>
Federal Matching Grants - In - Aid			4,444,754
Grand Total			41,801,797
<b>Miscellaneous Provisions</b>			
Retirement Fund Contribution Rate			30.03% (Pg 177)
UOG Ops Share of GF Revenues			5.1%
Exemption from BBMR Allotment Release Control			Drawdown schedule submitted to DOA shall not be subject to BBMR Allotment Release Control (pg179)
Implementation of Government-wide Position Classification, Compensation & Benefits Study Transfer Authority			\$7M for dept & agencies which includes UOG receiving either 6.10% or 4.33%. (pg143) Yes - from operations into scholarships (pg23)
Use of Lapsed Funds (Continuing Appropriation)			*Authorized for SFAP (pg 24) *Continuing appropriation authorized with Legislative approval (pg 169) *Fund Reversions- unexpended appropriations shall revert back to fund at end of FY (pg 181)
Program Annual reports			Annual program report & quarterly Rev/Exp report shall be posted on website & submitted to Governor & Legislature pg.22
Revenue & Expenditure Reporting			Monthly excell report of revenue & expenditures for all funds to be submitted Governor & Legislature and posted on website Pg177
Scholarship & Financial Assistance reporting			Submit report on number of scholarships/loans issued and other data. Due 60 days after end of FY14. Pg22
Employment placement and Job training programs			UOG is required to submit employment data report by June 30 pg 164
Staffing Pattern			Shall report current staffing pattern to the Legislature and post on web-site on a quarterly basis.(pg183)
Wireless Communications			GovGuam funds maybe not be used for wireless telephone service. (pg 163) Except for Wireless Internet and VOIP. Federally Funded is allowed.
Restriction on home use of government vehicles			No government vehicles maybe driven home except for emergency first responders Pg182
Restrictions on Hiring of Unclassified Employees			No government funds of any kind or description may be expended for the employment or hiring of unclassified employees in the Executive branch except Academic Teaching positions, federal funded positions & persons filling temporary vacancies created by military duty, Pg 160
Email addresses paid for with GovGuam funds			Post address list on agency & Governor's Office website Pg183



UNIVERSITY OF GUAM  
UNIBETSEDĀT GUAHAN  
BOARD OF REGENTS

RESOLUTION NO. 13-22

**RELATIVE TO AUTHORIZING THE SIGNING OF CHECKS AND CORPORATE  
RESOLUTIONS AND OPENING OR CLOSING BANK ACCOUNTS  
OR CREDIT FACILITIES**

**WHEREAS**, Article IV, Section 4, of the University of Guam (University) By-Laws, requires that authority to sign checks and open bank accounts in the name of the University be designated by resolution of the Board of Regents (BOR); and

**WHEREAS**, Corporate Resolutions require that authority to sign in the name of the University be designated by resolution of the BOR.

**NOW, THEREFORE BE IT RESOLVED**, that by virtue of its authority, the Board hereby authorizes the following named officers and employees of the University of Guam to *sign checks and corporate resolutions and to open or close bank accounts or credit facilities* (i.e. purchase/corporate/business card, credit line) in the University's name:

<b>DR. ROBERT A. UNDERWOOD</b>	<b>President</b>
<b>DR. ANITA B. ENRIQUEZ</b>	<b>Interim Senior Vice President for Academic &amp; Student Affairs</b>
<b>DAVID M. O'BRIEN</b>	<b>Vice President for Administration &amp; Finance</b>
<b>DR. JOHN PETERSON</b>	<b>Assistant Vice President for Graduate Studies, Sponsored Programs and Research</b>
<b>ZENAIDA ASUNCION-NACE</b>	<b>Comptroller</b>
<b>BARBARA MOLARTE</b>	<b>Associate Comptroller/ Bursar</b>

**BE IT FURTHER RESOLVED**, that such authority will be terminated either by Board action or the termination by the officer or employee from his or her present position with the University of Guam.

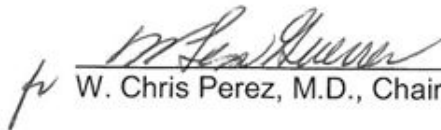
**BE IT FURTHER RESOLVED**, that the University shall maintain applicable insurance coverage for such purposes.

**BE IT FURTHER RESOLVED**, that aforesaid officers and employees be further authorized to open or close checking accounts, bank accounts, financial accounts or credit facilities on terms and conditions that are in the University's best interests.

**BE IT FURTHER RESOLVED**, that two signatures are required for each check and for opening or closing a bank account or credit facility.

**BE IT FURTHER RESOLVED**, that copies of this resolution be furnished to the appropriate banks and financial institutions, and that all previous resolutions authorizing the signing of checks are rescinded.

**Adopted this 19<sup>th</sup> day of September, 2013.**

  
W. Chris Perez, M.D., Chairman

**ATTESTED:**

  
Dr. Robert A. Underwood, Executive Secretary



UNIVERSITY OF GUAM  
UNIBETSEDAT GUAHAN  
BOARD OF REGENTS

RESOLUTION NO. 13-23

**RELATIVE TO AUTHORIZING SPENDING FROM PLANETARIUM FUND**

**WHEREAS**, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges (WASC) serving the post-secondary needs of the people of Guam and the region; and

**WHEREAS**, the governance and well-being of UOG is vested in the Board of Regents (BOR); and

**WHEREAS**, the Investment Committee of the BOR Budget, Finance, Investment and Audit (BFIA) Committee oversees UOG's Investment Fund in accordance with the Investment Policy Statement, which was first adopted by the BOR in 1989 and last amended in 2011; and

**WHEREAS**, based upon an appropriation of \$500,000 from Public Law 20-221, UOG purchased the planetarium instrument and established a Planetarium Fund within UOG's Investment Fund with the remaining ~\$147,000 for maintenance and parts; and

**WHEREAS**, the BOR and UOG's administration manage UOG's Investment Fund, which had a market value of ~\$16.7 million as of September 30, 2012, of which ~\$467,000 is associated with the Planetarium Fund, representing the \$147,000 of the remaining corpus and \$320,000 of accumulated earnings, from which the BOR must approve expenditure budgets; and

**WHEREAS**, in June 2013, UOG closed the Planetarium and is implementing plans to return the Planetarium space to an academic lecture hall primarily for science and mathematics and to remove and store (or dispose) the Planetarium instrument, which is 20+ years old and which the manufacturer has recommended to be scrapped; and

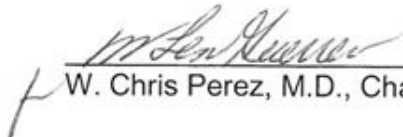
**WHEREAS**, UOG's administration has established a Planetarium closure plan and seeks BOR approval for the expenditure budget of ~\$320,000 from earnings in the Planetarium Fund, while retaining the ~\$147,000 corpus in the Planetarium Fund; and

**WHEREAS**, the President, the Investment, BFIA and the Physical Facilities Committees have reviewed the Planetarium closure plan and the Planetarium Fund expenditure budget, as attached, and recommend for approval.

**NOW, THEREFORE, BE IT RESOLVED**, that the Board of Regents hereby adopts the Planetarium closure plan and authorizes an expenditure budget of \$320,000, as attached, from the accumulated earnings.

**BE IT FURTHER RESOLVED**, that the Board of Regents hereby authorizes the President to approve increases to the expenditure budget for the Planetarium closure, as needed, provided that \$147,000 corpus remains in the Planetarium Fund.

**Adopted this 19<sup>th</sup> of September, 2013.**

  
\_\_\_\_\_  
W. Chris Perez, M.D., Chairman

**ATTESTED:**

  
\_\_\_\_\_  
Dr. Robert A. Underwood, Executive Secretary





Administration & Finance

Professional & International Programs

July 29, 2013

MEMORANDUM

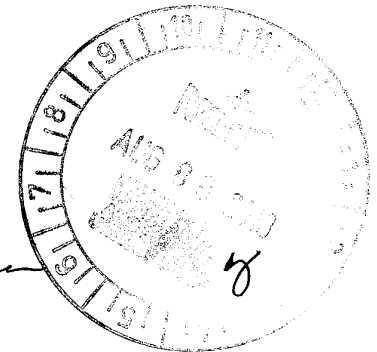
To: David O'Brien, VPAF

From: Cathleen Moore-Linn, Dir. PIP

Subject: Planetarium Closure Plan

A handwritten signature in black ink, appearing to read 'Cathleen Moore-Linn'.

A handwritten signature in black ink, appearing to read 'David O'Brien'.



The Planetarium officially closed June 30, 2013 and is no longer open to the public. The space will be returned to an academic lecture hall and will revert to CNAS operational control.

The plan includes acquiring A&E services, removal and storage (or disposal) of items stored in the planetarium, removal and storage (or disposal) of the instrument, renovation of the space to a lecture hall (including encapsulating the dome in place), and a cost estimate for the closure plan. Closure plans also affect the planetarium's sole employee, Pam Eastlick.

Renovation

After discussions with Plant and Facilities, we have decided to leave the dome in place as the space can be returned to use as a 75 person capacity lecture hall, primarily for science and mathematics. The rationale for this decision is based on several factors including the cost of dome removal and the lack of proper storage space for the dome. The instrument will be removed and either properly disposed or stored depending on the functionality of the equipment which is 20+ years old. Spitz, the manufacturer of the instrument, recommended that the University remove the instrument and trade it for scrap metal as many other sites are doing (see attached email). The preliminary estimate for the renovations and equipment storage is \$47,500 for A/E Renovation Design; \$5,000 for in-house demolition, equipment relocation, and storage; and \$250,000 for renovation (not to exceed the design/build budget). BOR approval will be sought for funding from the Planetarium Fund.

Timeline:

Outlined below is the closure and lecture hall renovation timeline.

- June 11 PIP Director, CNAS Dean, Scott Leon Guerrero, Plant and Facilities met to discuss conversion plans.
- June 25 PIP agrees to advance \$49K A&E services for renovation. Upon BOR approval, PIP will be reimbursed for any cost incurred for A&E services from planetarium fund (Memo to VPAF June 25).
- June 26 PIP Director sent notification to Pam Eastlick to prepare a manifest of items in the Planetarium and the condition of each item in order to properly store or dispose of the items. Manifest received Aug. 1, 2013.



Administration & Finance

*Professional & International Programs*

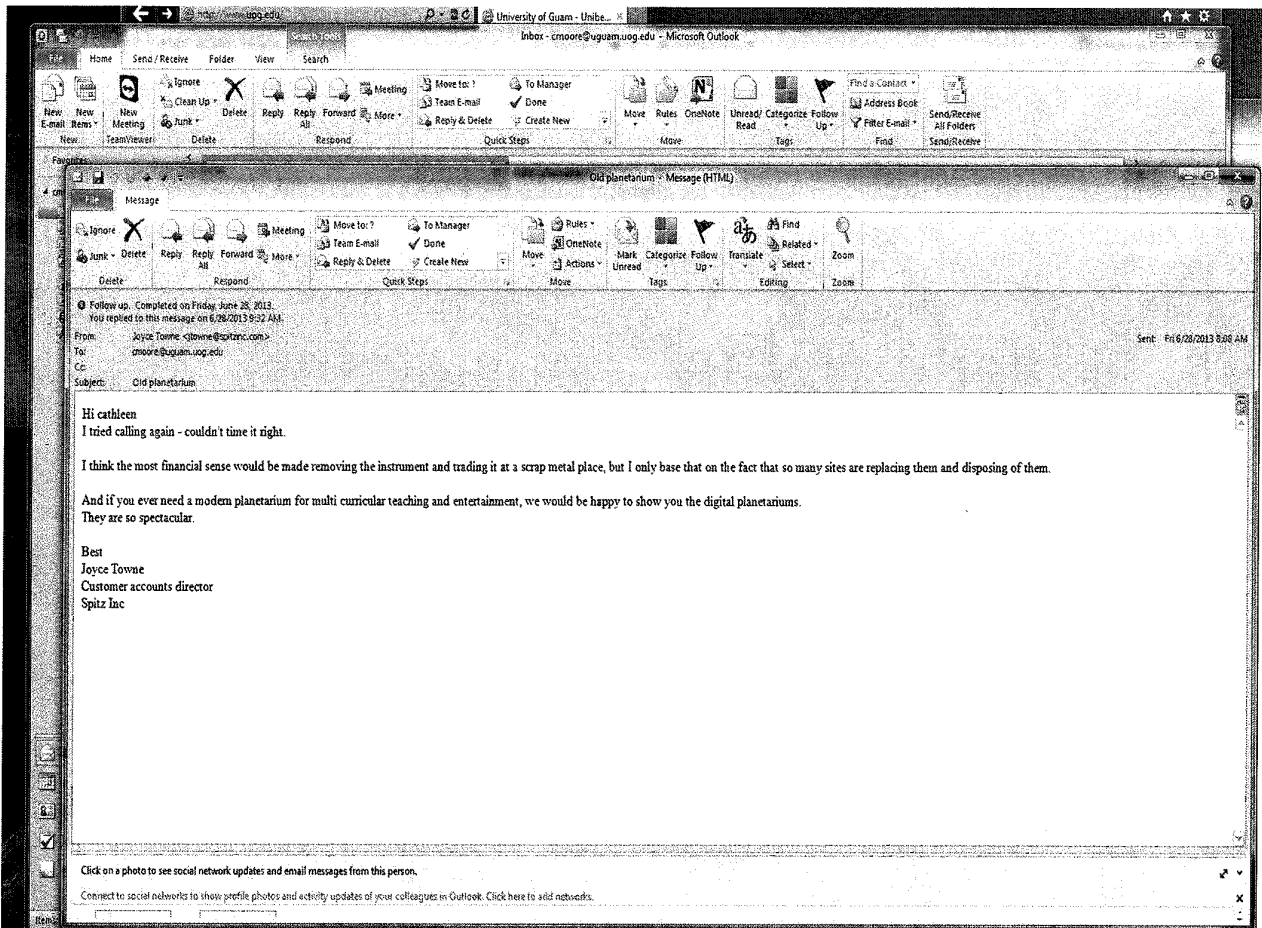
- June 27      Communication sent to Spitz regarding value of 20+ year old instrument and future possible use or proper disposal.
- July           Planetarium Closure plan.
- July           A&E plans submitted with cost for renovation/conversion
- July-August   Removal of items stored in Planetarium. Storage/disposal based on manifest. Light demolition/removal using in-house crew.
- September 11   BOR Investment Committee Meeting
- September 19   BOR meeting; planetarium fund included on the agenda for discussion and voting
- September      RFP issued
- November      Vendor selected
- December      Project work commences
- January        Lecture Hall ready for use for spring 2014 semester.

Planetarium Staff

The planetarium coordinator, Pam Eastlick, developed a manifest of all the items stored in the planetarium and is coordinating removal of items.

As of August 15, 2013, Pam Eastlick will be assigned to the herbarium as an Extension Associate (Herbarium Coordinator). The CNAS Dean, Dr. Lee Yudin, has assigned Dr. Frank Camacho as her supervisor. Her salary as Extension Associate (Herbarium Coordinator) will be \$43,490/annually or \$20.90/hourly and will be funded through September 30, 2014, by PIP or other available funds. After this date Pam Eastlick will retire, as she has indicated, or her employment with UOG will be terminated.

cc:      Bob MacIntosh; Sonny Perez; Lee Yudin; Frank Camacho; Mary Calvo; Larry Gamboa



**COST BREAKDOWN ANALYSIS**  
**Proposed CIP Project (Renovation of UOG Planetarium to Lecture Hall)**

Note: All amounts are estimates

**A/E Design Services**

Four Disciplines	Total	\$	<b>50,000.00</b>
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**CONSTRUCTION PREPARATION**

Disassembly/crating/removal and storage of equipment (By Other)		\$	22,500.00
Mobilization (Contractor)		\$	2,500.00
	Total	\$	<b>25,000.00</b>

**DEMOLITION & DISPOSAL**

Demolition and disposal Interior finishes and fixtures (Contractor)		\$	<b>7,500.00</b>
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**STRUCTURAL**

Structural Slab Floor		\$	<b>5,000.00</b>
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**ARCHITECTURAL**

Gypsum Wallboard		\$	4,500.00
Interior Doors		\$	12,000.00
Counter Tops		\$	20,000.00
Cabinets		\$	4,500.00
Ceramic Tiles		\$	12,000.00
Coating & Paintings		\$	7,500.00
Other Flooring & Floor Finishes		\$	5,000.00
Suspended Acoustical Ceiling		\$	30,000.00
	Total	\$	<b>95,500.00</b>

**MECHANICAL**

HVAC/Cooling System/Ducting System		\$	<b>70,000.00</b>
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**ELECTRICAL**

Lighting Control Panel Switches		\$	300.00
Emergency Lighting & Battery Units		\$	250.00
Exit Lighting Fixtures		\$	200.00
Interior Lighting Fixtures		\$	18,350.00
Conduits		\$	12,000.00
Wirings		\$	6,000.00
Panelboards, Circuit Breakers		\$	4,500.00
Cabinets and Enclosures		\$	2,500.00
Outlet Boxes		\$	250.00
Receptacles		\$	200.00
Communication Cables, Conduits, Wires		\$	7,500.00
Telecomm Cabinets		\$	1,200.00
Cable Tray, Ladder Type		\$	3,500.00
Detectors / Fire		\$	250.00
	Sub Total	\$	<b>57,000.00</b>

**SUMMARY:**

A/E Services	Sub Total	\$	50,000.00
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**CONSTRUCTION COST:**

. Construction Preparation		\$	25,000.00
. Demolition and Disposal		\$	7,500.00
. Structural		\$	5,000.00
. Architectural		\$	95,500.00
. Mechanical		\$	70,000.00
. Electrical		\$	57,000.00
	Sub Total	\$	<b>260,000.00</b>
	<b>Total</b>	\$	<b>310,000.00</b>

Furnishing/Movable Equipment		\$	-
		\$	10,000.00
	Sub Total	\$	<b>10,000.00</b>

	Grand Total	\$	<b>320,000.00</b>
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Administration & Finance

Professional & International Programs

July 29, 2013

MEMORANDUM

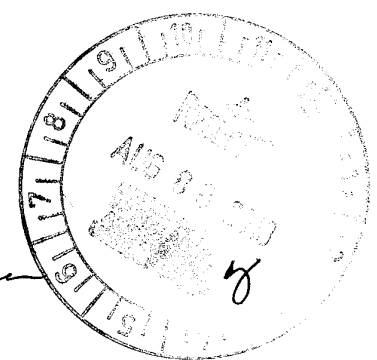
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Administration & Finance

*Professional & International Programs*

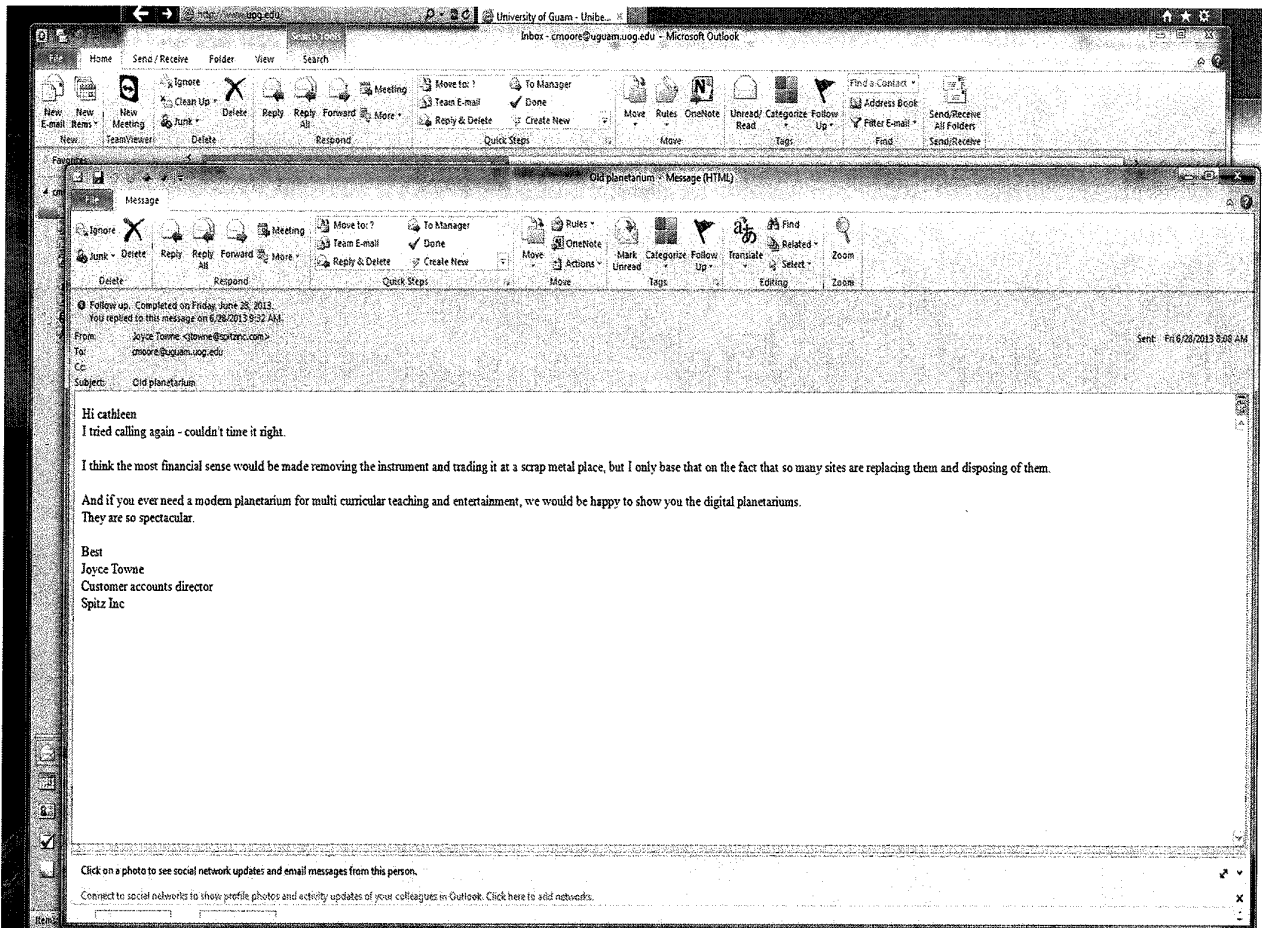
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cc:     Bob MacIntosh; Sonny Perez; Lee Yudin; Frank Camacho; Mary Calvo; Larry Gamboa





**COST BREAKDOWN ANALYSIS**  
**Proposed CIP Project (Renovation of UOG Planetarium to Lecture Hall)**

Note: All amounts are estimates

**A/E Design Services**

Four Disciplines	Total	\$	<b>50,000.00</b>
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**CONSTRUCTION PREPARATION**

Disassembly/crating/removal and storage of equipment (By Other)		\$	22,500.00
Mobilization (Contractor)		\$	2,500.00
	Total	\$	<b>25,000.00</b>

**DEMOLITION & DISPOSAL**

Demolition and disposal Interior finishes and fixtures (Contractor)		\$	<b>10,000.00</b>
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**STRUCTURAL**

Structural Slab Floor		\$	<b>5,000.00</b>
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**ARCHITECTURAL**

Gypsum Wallboard		\$	4,500.00
Interior Doors		\$	12,000.00
Counter Tops		\$	20,000.00
Cabinets		\$	4,500.00
Ceramic Tiles		\$	12,000.00
Coating & Paintings		\$	7,500.00
Other Flooring & Floor Finishes		\$	5,000.00
Suspended Acoustical Ceiling		\$	30,000.00
	Total	\$	<b>95,500.00</b>

**MECHANICAL**

HVAC/Cooling System/Ducting System		\$	<b>60,500.00</b>
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**ELECTRICAL**

Lighting Control Panel Switches		\$	300.00
Emergency Lighting & Battery Units		\$	250.00
Exit Lighting Fixtures		\$	200.00
Interior Lighting Fixtures		\$	18,350.00
Conduits		\$	12,000.00
Wirings		\$	6,000.00
Panelboards, Circuit Breakers		\$	4,500.00
Cabinets and Enclosures		\$	2,500.00
Outlet Boxes		\$	250.00
Receptacles		\$	200.00
Communication Cables, Conduits, Wires		\$	7,500.00
Telecomm Cabinets		\$	1,200.00
Cable Tray, Ladder Type		\$	3,500.00
Detectors / Fire		\$	250.00
	Sub Total	\$	<b>57,000.00</b>

**SUMMARY:**

A/E Services	Sub Total	\$	50,000.00
<b>CONSTRUCTION COST:</b>			
. Construction Preparation		\$	25,000.00
. Demolition and Disposal		\$	10,000.00
. Structural		\$	5,000.00
. Architectural		\$	95,500.00
. Mechanical		\$	60,500.00
. Electrical		\$	57,000.00
	Sub Total	\$	<b>253,000.00</b>
	<b>Total</b>	\$	<b>303,000.00</b>
Furnishing/Movable nt		\$	12,000.00
		\$	5,000.00
	Sub Total	\$	<b>17,000.00</b>
	Grand Total	\$	<b>320,000.00</b>

Physical Facilities Chairperson Elizabeth Gayle will give her report.

Facilities Update will be given at this time.



UNIVERSITY OF GUAM  
UNIBETSEDĀT GUAHAN  
BOARD OF REGENTS

RESOLUTION NO. 13-24

**RELATIVE TO AMENDING THE UNIVERSITY OF GUAM'S POLICY BANNING THE SALES, SMOKING AND THE DISTRIBUTION AND USE OF TOBACCO AND TOBACCO-BASED PRODUCTS ON THE UNIVERSITY OF GUAM CAMPUS**

**WHEREAS**, the University of Guam (UOG) is the primary U.S. Land Grant institution accredited by the Western Association of Schools and Colleges (WASC) serving the post-secondary needs of the people of Guam and the region; and

**WHEREAS**, the governance and well-being of UOG is vested in the Board of Regents (BOR); and

**WHEREAS**, the BOR adopted Resolution No. 06-04, also referred to as the "Tobacco Free Policy," on January 19, 2006, which authorized the UOG administration to implement a total ban on sales, smoking and the distribution and use of tobacco and tobacco-based products on the UOG campus by August 1, 2006; and

**WHEREAS**, Public Law 28-80 the Natasha Perez Protection Act of 2005, prohibits smoking in Guam restaurants, except for restaurants that turn into bars late at night; and,

**WHEREAS**, according to the World Health Organization, scientific evidence has firmly established that there is no safe level of exposure to second-hand tobacco smoke, a pollutant that causes serious illness in adults and children, and that implementing 100% smoke-free environments is the only effective way to protect the population from the harmful effects of exposure to second-hand smoke; and

**WHEREAS**, 10 GCA Health and Safety, Chapter 90 Natasha Protection Act of 2005, § 90105 (b) supports any owner, operator, manager, or other person who controls any establishment, facility or area, may prohibit smoking to occur within the entire establishment, facility or area; and

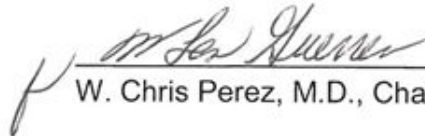
**WHEREAS**, after testing a number of e-cigarettes from two leading manufacturers, the Food and Drug Administration (FDA) determined that various samples tested contained not only nicotine but also detectable levels of known carcinogens and toxic chemicals, including tobacco-specific nitrosamines and diethylene glycol, a toxic chemical used in antifreeze ("Summary of Results: laboratory analysis of electronic cigarettes conducted by FDA," *Food and Drug Administration (FDA)*, July 22, 2009); and,

**WHEREAS**, the use of e-cigarettes can create difficulties in enforcing the smoking prohibitions in workplaces and public places where smoking of traditional tobacco products is prohibited; and

**WHEREAS**, the administration, with the support of the Staff Council and Faculty Union, through the Administrative Council, desires to amend the Tobacco Free Policy to include a ban on the use of e-cigarettes, and to expand the policy to apply to all University of Guam properties, to include areas that are not located on the main campus grounds.

**NOW, THEREFORE BE IT RESOLVED**, that the Board of Regents hereby adopts the amended policy as attached.

**Adopted this 19<sup>th</sup> day of September, 2013.**

  
\_\_\_\_\_  
W. Chris Perez, M.D., Chairman

**ATTESTED:**

  
\_\_\_\_\_  
Dr. Robert Underwood, Executive Secretary

## UOG Rules, Regulations and Procedures Manual

### Article VI. Policies Common to Administrators, Faculty, Staff and Students

#### F. TOBACCO-FREE POLICY

Pursuant to Board of Regents Resolution No. 13-24, the University of Guam (UOG) has a total ban on the sales, smoking and the distribution and use of tobacco and tobacco-based products on the UOG Campus, and properties.

The purpose of this policy is to protect the public health and welfare by prohibiting smoking and the use of tobacco products or simulated smoking devices, including but not limited to E-cigarettes, on the UOG campus and properties; to guarantee the right of nonsmokers to breathe smoke-free air, while recognizing that the need to breathe smoke-free air shall have priority over the desire to smoke; and to encourage a healthier, more productive living/learning environment for all members of our University community.

#### Definitions.

A. "Smoking" means inhaling, exhaling, burning, or carrying any lighted or heated cigar, cigarette, or pipe, including a hookah pipe, or any other lighted or heated tobacco or plant product, including but not limited to marijuana, intended for inhalation, in any manner or in any form. "Smoking" also includes the use of an e-cigarette which creates a vapor, in any manner or in any form, or the use of any oral smoking device for the purpose of circumventing the prohibition of smoking in this Policy.

B. "Tobacco Product" means any substance containing tobacco leaf, including but not limited to, cigarettes, cigars, pipe tobacco, hookah tobacco, snuff, chewing tobacco, dipping tobacco, bidis, blunts, clove cigarettes, or any other preparation of tobacco; and any product or formulation of matter containing biologically active amounts of nicotine that is manufactured, sold, offered for sale, or otherwise distributed with the expectation that the product or matter will be introduced into the human body by inhalation or digestion; but does not include any cessation product specifically approved by the U.S. Food and Drug Administration for use in treating nicotine or tobacco dependence.

C. "E-cigarette" means any electronic oral device, such as one composed of a heating element, battery, and/or electronic circuit, which provides a vapor of nicotine or any other substances, and the use or inhalation of which simulates smoking. The term shall include any such device, whether manufactured, distributed, marketed, or sold as an e-cigarette, e-cigar, e-pipe, or under any other product name or descriptor.

This Tobacco-Free Policy applies to all UOG facilities and vehicles, owned or leased, regardless of location. Smoking and the use of tobacco products or e-cigarettes shall not be permitted in any enclosed place, including privately owned vehicles, residential areas/dormitories, and businesses within University of Guam campus and properties. Smoking and the use of tobacco products or e-cigarettes shall also be prohibited outdoors on all UOG properties, including the campus and parking lots. This policy applies to all students, UOG employees, and other persons on campus and on UOG properties, regardless of the purpose for their visit.

Copies of this policy shall be distributed to all University employees and shall be included with information given to all admitted students. Announcements shall also be printed in campus newspapers to insure that everyone understands the policy. All contracts with activities or services on campus or University properties shall also reflect this policy in writing with intent to actively announce and enforce compliance. Signs prohibiting smoking and the use of tobacco products shall be posted at points of entry to the University of Guam campus and at all University of Guam building entrances. No ashtrays shall be provided at any location on University properties. No tobacco products or paraphernalia shall be sold or distributed as samples on university grounds, either in vending machines or any area on campus or on University properties.

The success of this policy will depend on the thoughtfulness, consideration, and cooperation of smokers and nonsmokers. All students and University employees share in the responsibility for adhering to this policy. Violations of this policy will be addressed in accordance with UOG disciplinary procedures and other enforcement action as permitted by UOG policy.

Tobacco cessation programs and other resources to assist and encourage individuals who wish to quit using tobacco products will be made available by UOG. Questions regarding this policy and its enforcement should be handled through existing departmental administrative channels and administrative procedures.

Tobacco-related advertising or sponsorship shall not be permitted on UOG properties at UOG-sponsored events, or in publications produced by the University of Guam, with the exception of advertising in a newspaper or magazine that is not produced by the UOG and which is lawfully sold, bought, or distributed on UOG properties. For the purposes of this policy "tobacco related" applies to the use of a tobacco brand or corporate name, trademark, logo, symbol, or motto, selling message, recognizable pattern or colors, or any other indicia of product identical to or similar to, or identifiable with, those used for any brand of tobacco products or company which manufactures tobacco products.

Individuals and/or businesses convicted of violating Guam law regarding prohibitions of smoking are subject to significant fines and penalties, in accordance with 10 GCA Ch. 90 Natasha Protection Act of 2005 or other related mandates.



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An update will be provided from the UOG Endowment Foundation.

New Business will be introduced at this time.

The floor is now open for presentations by the public. Presentations are limited to 3 minutes only.

The BOR will enter Executive Session at this time.

The BOR Self-Evaluation Committee will present their report at this time.

Acting Chairperson William Leon Guerrero will adjourn the meeting.